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and Quarantine

First Edition

# CITES I-II-III Timber Species Manual



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Deborah Briggs, Writer/Editor, USDA-APHIS-PPQ Writer, Manuals

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# 1

CITES I-II-III Timber  
Species Manual

# Introduction

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## Purpose

The *CITES Appendixes I-II-III Timber Species Manual* provides the procedures for the enforcement of the Convention on International Trade in Endangered Species of Wild Flora and Fauna (CITES) Appendix I, Appendix II, and Appendix III timber species.

As defined by the Convention, the appendixes are as follows:

- ◆ Appendix I includes those timber species that are the **most** endangered among CITES-listed plants, and are threatened with extinction; CITES generally prohibits commercial international trade in specimens of these species
- ◆ Appendix II includes those timber species which are **not** necessarily threatened with extinction, but may become so unless trade in specimens of such species is subject to strict regulation in order to avoid utilization which is incompatible with the species' survival
- ◆ Appendix III includes those timber species that have been added at the request of a Party that already regulates trade in the species and that needs the cooperation of other countries to prevent unsustainable or illegal exploitation of the species

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## Scope

### What the Manual Covers

The *CITES I-II-III Timber Species Manual* covers CITES Appendix I, Appendix II, and Appendix III timber species of the Convention on International Trade in Endangered Species of Wild Fauna and Flora.

The manual is divided into tabbed chapters:

- ◆ **Introduction**
- ◆ **Importation of CITES Protected Timber Species**
- ◆ **Re-exportation of CITES Protected Timber Species**
- ◆ **Violations, Seizures, and Forfeitures**

The **Introduction** provides basic information about the manual such as the purpose, scope, users, related documents, directions for using manual, and a description of conventions throughout the manual.

The **Importation of CITES Protected Timber Species** chapter provides the procedures for verifying and handling the importing of articles produced from timber species listed in CITES Appendix I, Appendix II, and Appendix III.

The **Re-exportation of CITES Protected Timber Species** chapter provides the procedures for verifying and handling the re-exporting of articles produced from timber species listed in CITES Appendix I, Appendix II, and Appendix III.

The **Violations, Seizures, and Forfeitures** chapter provides the procedures for documenting violations, and seizing and forfeiting of illegally-traded CITES regulated material.

The appendixes provide supplemental information to assist CBP Agriculture Specialists, PPQ Plant Health Safeguarding Specialists, and PPQ Export Certification Specialists who use the manual with carrying out specific duties.

The **Glossary** defines specialized words, abbreviations and acronyms, and other terms that are used in the identification of lumber which may be difficult or unfamiliar.

The **Index** contains topics and page numbers for quick reference.

## What the Manual Does Not Cover

The *CITES I-II-III Timber Species Manual* **does not** cover the following:

- ◆ Information about medicinals and other derivatives that are intended for human consumption and derived from CITES Appendix I, Appendix II, or Appendix III timber species (see the "Miscellaneous and Processed Products" section of the *Non-Propagative Manual*)
- ◆ Information about woody species and species that simulate the growth habit of woody species (such as cycads and palms), that are used solely for medicinal or herbal medicines or used solely as horticultural specimens (see the "Miscellaneous and Processed Products" section of the *Non-Propagative Manual* or "Table 1: Regulated Propagative Material" of the *Port of Entry Manual* (M319.37))
- ◆ Port policies or port guidelines
- ◆ Wood identification detailed techniques (see the *CITES Identification Guide—Tropical Woods*)

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## Users

This manual is written for use by CBP Agriculture Specialists; PPQ Plant Health Safeguarding Specialists, Export Certification Specialists, and other personnel; State cooperators; and collaborators at airports and maritime locations. The experience levels of users will vary, but the CBP Agriculture Specialists, PPQ Plant Health Safeguarding Specialists, and PPQ Export Certification Specialists have, at minimum, a working knowledge of using PPQ manuals to make regulatory decisions.

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## Related Documents

### Authority

The regulatory authority for taking the actions listed in this manual is contained in the following Acts:

- ◆ Civil Asset Forfeiture Reform Act of 2000
- ◆ Endangered Species Act of 1973 (ESA)<sup>1</sup>
- ◆ Homeland Security Act of 2002<sup>2</sup>

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<sup>1</sup> The Endangered Species Act of 1973 authorizes the USDA to enforce the Convention of International Trade in Endangered Species of Wild Fauna and Flora (CITES).

Authority for specific regulatory actions is contained in the Code of Federal Regulations (CFR) Titles 7 and 50, and the Homeland Security Act of 2002.

Title 7CFR contains the following parts:

- ◆ Part 355, for specifics on endangered species regulations concerning plants
- ◆ Part 356, for specifics on forfeiture procedures

Title 50CFR, Parts 1 to 199 contains the following parts for regulating endangered species:

- ◆ Part 17.12, Endangered and Threatened Plants
- ◆ Part 23, Endangered Species Convention
- ◆ Part 24, Importation and Exportation of Plants at Designated Ports

Homeland Security Act of 2002 contains the following section:

- ◆ Title 4, Section 421

Refer to the *Code of Federal Regulations* for the full text of the CFRs listed above. Refer to the full text of the CITES Convention and Decisions and Resolutions of the Conference of the Parties (all are used to make regulatory decisions), at <http://www.CITES.org>.

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## Application

This manual contains the policies and guidelines for the tasks associated with regulating CITES Appendix I, Appendix II, and Appendix III timber species. The manual informs CBP Agriculture Specialists, PPQ Plant Health Safeguarding Specialists, PPQ Export Certification Specialists, and their managers with instructions to perform various clearance tasks.

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2 The Homeland Security Act of 2002 authorizes the Department of Homeland Security to enforce Section II of the Endangered Species Act of 1973.



## How to Use This Manual

Review the contents of this manual to get a feel for the scope of material covered. Glance through the section that you will be using, and familiarize yourself with the organization of the information. Use the table of contents which follows each tab to find the information you need. If the table of contents is **not** specific enough, then turn to the index to find the topic and corresponding page number.

### EXAMPLE

To find information on the species identified as CITES Appendix I, Appendix II, and Appendix III timber species, see [Step 1: Confirm the Identity of the Timber or Articles](#) on page 2-4.

## How to Report Problems or Suggestions for the Manual

Use [Table 1-1](#) to report problems, situations, disagreements, or improvements which directly affect the contents of this manual; or to submit a photograph of an article from a CITES timber species,

**TABLE 1-1** How to Report Problems or Suggestions, or Submit a Photograph for the Manual

| If you:   | Then:  |
|---|--|
| Are <b>not</b> able to access the on-line manual  | CONTACT the PPQ Manuals Unit John Patterson<br>E-mail: john.l.patterson@aphis.usda.gov<br>Phone: 240-629-1934  |
| Have a situation that requires an immediate response regarding a procedure or regulatory action   | CONTACT your PPQ Regional Botanist<br>(CBP contact a PPQ Regional Botanist through proper channels)  |
| Disagree with a policy, procedure, or regulatory action identified in the manual  |  |
| Have a suggestion for improving the formatting of the manual (design, layout, composition), grammar, composition, or spelling           | CONTACT the PPQ Manuals Unit, Deborah Briggs<br>E-mail: deborah.j.briggs@aphis.usda.gov<br>Phone: 240-629-1934   |
| Have taken a photograph of an article made from CITES I-II-III timber species that you would like to submit for inclusion in the manual | SEND, via E-mail to deborah.j.briggs@aphis.usda.gov, a digital image of the photograph; include a description of the article, the name of the wood, your name and work location, and a statement that you are submitting the photograph for inclusion in the <i>CITES I-II-III Timber Species Manual</i> |

## Conventions

The conventions<sup>3</sup> used in this manual are established by custom and are widely recognized and accepted.

### Advisories

Advisories are used throughout the manual to bring important information to your attention. Please carefully review each advisory. The definitions coincide with American National Standards Institute (ANSI), and are in the format shown below.



DANGER indicates that people could **easily** be hurt or killed.



WARNING indicates that people could **possibly** be hurt or killed.



CAUTION indicates that people could possibly be endangered or slightly hurt.



NOTICE indicates a possibly dangerous situation where goods might be damaged.



IMPORTANT indicates helpful information.

### Boldface

Boldfaced type is used to highlight negative or important words throughout this manual. These words are: **always, cannot do not, does not, except, lacks, must, never, no, not, only, other than.**

### Bullets

Bulleted lists indicate there is **no** specific order for the information listed.

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<sup>3</sup> In this context, conventions means the devices and techniques used in the manual and **not** the Convention of International Trade in International Trade of Wild Fauna and Flora (CITES).

## Chapters

This manual contains the following chapters: *Introduction*, *Importation of CITES Protected Timber*, *Re-exportation of CITES Protected Timber*, and *Violations, Seizures, and Forfeitures of CITES Protected Timber*. The manual also contains appendices, a glossary, and an index.

## Contents

Every chapter has a table of contents at the beginning that lists the heading titles within.

## Control Data

Information placed at the top and bottom of each page helps users keep track of where they are in the manual and updates to the manual. At the top of each page is the chapter and first-level heading. At the bottom of each page is the month, year, manual transmittal number, manual title, page number, and unit responsible for content.

## Decision Tables

Decision tables are used throughout the manual. The first and middle columns in each table represent conditions, and the last column represents the action to take after all conditions listed for that row are considered. Begin with the column headings and move left-to-right, and if the condition **does not** apply, then continue one row at a time until you find the condition that does apply.

TABLE 1-2 How to Use Decision Tables

| If you:  | And if the condition applies: | Then:                               |
|--|-------------------------------|-------------------------------------|
| Read this column cell and row first  | Continue in this cell         | TAKE the action listed in this cell |
| Find the previous condition <b>did not</b> apply, then read this column cell | Continue in this cell         | TAKE the action listed in this cell |

## Examples

Examples are used to clarify a point by applying a real-world situation.

### EXAMPLE

Examples are graphically placed boxes within the text as a means of visual separation from other information on the page. Examples **always** appear in a box like this.

## Footnotes

Footnotes comment on or cite a reference to text and are referenced by number. The footnotes used in this manual include general text footnotes, table footnotes, and figure footnotes.

General text footnotes are located at the bottom of the page and are consecutively numbered within each chapter.

When space on the page allows, table and figure footnotes are located at the bottom of the associated page. However, for multi-page tables or tables that cover the length of a page, footnote numbers and footnote text **cannot** be listed on the same page. To locate table footnote text, be sure to check the last page and the page following the end of the associated table.

### Heading Levels

Within each chapter there are three heading levels. The first heading is indicated by a horizontal line, and the heading follows directly below and across both the left and right columns. The second heading is in the right-hand column. The third heading is in the left-hand margin.

### Highlighting and Hypertext Links

Tables, figures, and headings that are cross-referenced in the body of the manual, are emphasized in boldface and highlighted. These appear in blue hypertext in the on-line manual.

#### EXAMPLE

See [Figure 2-1 on page 2-2-3](#).

### Indentations

Entry requirements which are summarized from CFRs, permits, or policies are indented on the page.

### Italicized Brackets

When completing or reviewing certain certificates and forms, information that is to be entered, listed, or filled in is italicized and enclosed in brackets.

### Numbered Lists

Numbered lists are used to indicate the specific order in which the information listed is to be followed.

### Numbering Scheme

A two-level numbering scheme is used in this manual for pages, tables, and figures. The first number represents the chapter. The second number represents the page, table, or figure. This numbering scheme allows for updating and adding and removing pages **without** having to reprint an entire chapter. Dashes are used in page numbering to differentiate page numbers from decimal points.

# 2

CITES I-II-III Timber  
Species Manual

# Importation of CITES Protected Timber Species

## *Procedures*

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## Contents

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## Introduction

This chapter provides the guidelines for handling the importation of CITES Appendix I, Appendix II, and Appendix III protected timber species. These guidelines are to be used for the following:

- ◆ Confirming that the commodity is in a form which is regulated
- ◆ Determining which permits and/or certificates are required
- ◆ Verifying that the documents are valid

- ◆ Inspecting the commodity to verify that the quantity in the shipment matches the quantity listed on the CITES document
- ◆ Instructing the user on how to validate a CITES document
- ◆ Distributing and filing the paperwork



Use these guidelines in conjunction with 7CFR 319.40 (see the “Wood and Other Forest Products (Articles of the Timber and Lumber Industry)” section of the *Miscellaneous and Processed Products Manual* (available on-line at [http://www.aphis.usda.gov/ppq/manuals/port/pdf\\_files/50Miscellaneous.pdf](http://www.aphis.usda.gov/ppq/manuals/port/pdf_files/50Miscellaneous.pdf)), and the Plant Protection Act. When applying these guidelines, first apply the regulations that prevent the entry of plant pests. In addition to *PPQ Form 622, General Permit* or *Protected Plant Permit*, many wood and forest products also require *PPQ Form 597, Import Permit for Plants and Plant Products* (see also *PPQ Form 585, Application to Import Timber or Timber Products*).

---

## Preparation

As with other port documents, copies of CITES documents **must** also be filed in an organized, consistent manner. The CITES files and copies maintained at your port are important in case the originals become lost or destroyed. An accessible filing system will also enable you to comply with requests for information made by other government and non-government agencies and the general public through the Freedom of Information Act (FOIA).

### Filing System

If you already have a filing system for retaining CITES records in place at your port, then review these instructions to be sure your system is functional. If you **do not** have a filing system in place, then follow the instructions below.

To set up a filing system, do as follows:

1. Decide on the filing system that is most practical for your location. Select one of the following methods to keep the records complete and accessible:
  - ❖ File alphabetically by permittee’s name
  - ❖ File chronologically by month and year
2. Select the documents to be filed. At a minimum, you **must** file the following in the order listed below:
  - A. CITES document (**must** be a validated copy)
  - B. Customs entry
  - C. Dimensional specification sheets (if applicable)
  - D. Invoice/packing list

E. Lading bill or air waybill

F. Phytosanitary Certificate (if required)

After filing the documents, you **must** maintain each file for a minimum of five years, counting from the date the importation occurred.

**EXAMPLE**

A file **must** be maintained until January 24, 2011 for an importation that occurred on January 24, 2006.

---

## Procedures

The procedures for handling the importation of CITES Appendix I, Appendix II, and Appendix III protected timber species are summarized in **Figure 2-1**.

1. Confirm that the commodity is a CITES Appendix I, Appendix II, or Appendix III protected timber species.
2. Determine if the form of the commodity imported is protected by CITES.
3. Determine if you have the authority to validate the shipment.
4. Determine which CITES documents **must** accompany the shipment.
5. Collect all relevant documents associated with the importation.
6. Verify that the CITES document accompanying the importation is authentic and acceptable.
7. Verify that the USDA-issued *PPQ Form 622, General Permit or Protected Plant Permit*, has **not** expired.
8. Compare shipping documents with CITES documents to confirm the quantities are authorized.
9. Inspect the shipment to make sure the quantities are authorized.
10. If the shipment is in order, then validate the CITES documents by stamp and endorsement.
11. Distribute and file the endorsed documents.

**FIGURE 2-1 Summary of Procedures for Handling the Importation of CITES Appendix I, Appendix II, and Appendix III Protected Timber Species**

Follow the steps below when handling the importation of CITES Appendix I, Appendix II, and Appendix III protected timber species used for lumber or other wood products.

### Step 1: Confirm the Identity of the Timber or Articles

Currently, there are six CITES Appendix I species, ten Appendix II taxa (eight species and two genera), and six CITES Appendix III species used for lumber or other wood products. The most frequently used common names are shown beside the scientific names listed below. For a list of other common names, see [Figure 2-3 on page 2-7](#).

#### Appendix I Timber Species

The CITES Appendix I protected species are as follows:

- ◆ *Abies guatemalensis* (Guatemalan fir)
- ◆ *Araucaria araucana* (monkey puzzle tree)
- ◆ *Dalbergia nigra* (Brazilian rosewood)
- ◆ *Fitzroya cupressoides* (alerce)
- ◆ *Pilgerodendron uviferum* (pilgerodendron)
- ◆ *Podocarpus parlatorei* (Palatore's podocarp)

#### Appendix II Timber Species

The CITES Appendix II protected species are as follows:

- ◆ *Caryocar costaricense* (ajillo)
- ◆ *Gonystylus* spp. (ramin)



On January 12, 2005, *Gonystylus* spp. (ramin) moved from Appendix III to Appendix II. Therefore, on or after this date any shipment containing ramin wood (including all wood products) exported or re-exported to the United States **must** be accompanied by a CITES Appendix II Export Permit or Re-export Certificate. **Do not** accept a CITES Appendix III Export Permit, Re-export Certificate, or Certificate of Origin.

- ◆ *Guaiaacum* spp. (lignum vitae)
- ◆ *Oreomunnea pterocarpa* (gavilan)
- ◆ *Pericopsis elata* (afrormosia)
- ◆ *Platymiscium pleiostachyum* (cristobal, granadillo)
- ◆ *Pterocarpus santalinus* (red sandalwood, red sanders)
- ◆ *Swietenia humilis* (Pacific Coast mahogany)
- ◆ *Swietenia macrophylla* (bigleaf mahogany)
- ◆ *Swietenia mahogani* (Caribbean mahogany)



### Appendix III Timber Species

The CITES Appendix III protected species are as follows:

- ◆ *Cedrela odorata* (Spanish cedar)
- ◆ *Dipteryx panamensis* (almendro)
- ◆ *Magnolia liliifera* var. *obovata*
- ◆ *Podocarpus neriifolius* (podocarp)
- ◆ *Tetracentron sinense* (tetracentron)

To determine that the importation is of a CITES Appendix I, Appendix II, or Appendix III timber species, review the shipping documents. Regulations require CITES plants be identified to their genus and species by one of the following:

- ◆ Label
- ◆ Invoice, or packing list, or tag
- ◆ Other document accompanying the shipment

For a complete list of flora protected by CITES, see the CITES Appendixes available at the following Web site:

<http://www.cites.org/eng/app/index.shtml>

CITES protected timber may be manifested or invoiced by a trade name or a local name. If you are given a common name that you **do not** recognize or is **not** listed in **Figure 2-3 on page 2-7**, and you want to confirm the scientific name of what is imported or you want to determine whether the wood is listed as protected, then go to the following CITES Web site:

<http://www.CITES.org/Eng/resources/species.html>



The CITES Web site listed above **does not** include all common names for CITES-regulated species. The importer or the importer's agent is responsible for providing you with the scientific name of the timber species traded.

### CITES Listed Species Database

Follow these steps to use the CITES-listed species database:

1. In the left column of the screen, click "Common name" and "Find it".
2. Enter the common name (faster search) or part of the name (slower search).
3. At "Select a language" select "All" (default).
4. At "Select a country" select "All" (default).
5. Click on the "Search" button.

6. Select a common name from the list, then click on the “Display Details” button.

For timber species commodity recognition and a synopsis of wood identification, see **Appendix F**. For detailed instructions on how to identify wood of CITES regulated species, see the *CITES Identification Guide—Tropical Woods* (available at [http://www.cws-scf.ec.gc.ca/enforce/pdf/Wood/Cites\\_Wood\\_Guide.pdf](http://www.cws-scf.ec.gc.ca/enforce/pdf/Wood/Cites_Wood_Guide.pdf)).

If after inspecting the wood or articles and reviewing the entry paperwork, you are still unable to determine the identity of the wood or articles, or suspect or question that the article is **not** as identified on the manifest or invoice, then contact the PPQ Botanist that services your port. The PPQ Port Botanist will either instruct you to send the sample to him or her (PPQ Port Botanist), or instruct you to forward the sample directly to the PPQ Regional Wood Identification Specialist. To locate the name and phone number of your Port Botanist, see *Appendix G, List of Identifiers* in the *Manual for Agricultural Clearance* (available at [http://www.aphis.usda.gov/ppq/manuals/port/pdf\\_files/MAC\\_in\\_PDF/AppendixG\\_Identifiers.pdf](http://www.aphis.usda.gov/ppq/manuals/port/pdf_files/MAC_in_PDF/AppendixG_Identifiers.pdf)).

If you are instructed to send the sample to the Port Botanist, then use the standard procedures at your port for sending an URGENT interception.

If you are instructed to forward the sample directly to the PPQ Regional Wood Identification Specialist, then fill out *PPQ Form 309A, Interception Record*, and enclose the specimen and the form in an escape-proof package. Affix black and yellow tape to the outside of the package, and ship using an overnight delivery service with tracking capacity. See **Figure 2-2** below,

| Region  | Regional Wood Identification Specialist  | Phone                  | FAX          |
|---------|--|------------------------|--------------|
| Eastern | Leo Castaneda, Eastern Region PPQ<br>Wood Identification Specialist<br>USDA-APHIS-PPQ<br>3500 NW 62nd Avenue<br>Miami, FL 33159                | 305/526-2825           | 305/871-4205 |
| Western | Jamal Al-Henaid, Western Region PPQ<br>Wood Identification Specialist<br>USDA-APHIS-PPQ<br>11840 South La Cienega Blvd.<br>Hawthorne, CA 90250 | 310/725-1919<br>xt 213 | 310/725-1922 |

**FIGURE 2-2** List of PPQ Regional Wood Identification Specialists

## List of Common Names for CITES Appendix I, Appendix II, and Appendix III Timber Species

| Scientific Name                        | Common Name        | Other Common Names   |
|--|--------------------|--|
| <i>Abies guatemalensis</i>             | Guatemalan fir     | Abeto mexicano, guayami, Mexican fir, pinabete, plumajatzin, plumajillo de montaña, sapin de Guatemala   |
| <i>Araucaria araucana</i>              | Monkey puzzle tree | Apeboom, araucaria du Chile, Chilean pine, chilensk tall, Chili pine, Chili tall, Chile pine, parana pine, pehuen, pilon, pin du Chili, pino, pino araucaria, pino de Chile, pino de Neuquén, pino de Paraná, piñonero, piñón, sapin du Chili  |
| <i>Caryocar costaricense</i>           | Ajillo             | Aji, ajo, almendrillo, almendro, almendro de bajo, almendron, cagui, firme, genenè, manu, maqui-maqui cagui, pequia, pequia brava, pete rana do terra firme, petè, pete-rana, plumillo, rana do terra, swari   |
| <i>Cedrela odorata</i>                 | Spanish cedar      | Acajou rouge, akuyari, atoreb, Barbados cedar, Brazilian cedar, British Guiana cedar, British Honduras cedar, cedar, cèdra acajou, cèdre des barbaies, cèdre rouge, cedrela, cedrela wood, cedro, cedro chino, cedro colorado, cedro hembra, cedro macho, cedro obscuro, cedro real, cedro red, cedro rojo, Central American cedar, chujte, cigar-box cedar, cigarbox cedar, Colorado cedro, Cuban cedar, epi, Hondouras cedar, icte, Jamaican cedar, Kalantas, Kapere, Koperi, Kurama, Kurana, Mexican cedar, Nicaraguan cedar, parank, paranka, red cedar, rojas cedar, rosas cedar, South American cedar, Tabasco cedar, tiocuahuil, Trinidad cedar, Wesindische zedar, West Indian cedar |
| <i>Dalbergia nigra</i>                 | Brazilian rosewood | Babia rosewood, bahia rosewood, caa-biuna, cabeuna, cabiuna, cabiuna do mato, cabiuna rajada, comore, camboriuna, caviuna, jacaranda, jacarada cabiuna, jacaranda de Brasil, jacaranda wood, jacaranda-da-bahia, jacaranda-preto, jacaranda-rajado, jacaranda-roxo, jacarandaholz, jacaradanda de Brasil, legno di jacaranda, maera de palisandro, marnut, palisander, Rio rosewood  |
| <i>Dipteryx panamensis</i>             | Almendra           | Almendra, almendra de montaña, amans, choiba, eboe, ibu, iqua, Indian almond, sarrapia, tonca, tonka bean, yapo  |
| <i>Fitzroya cupressoides</i>           | Alerce             | Alerzholz, fitzroy cypress, lahuan, patagonian cypress   |
| <i>Gonystylus</i> spp.                 | Ramin              | Ampudji, gaharu, gaheu, gara buaja, kaya garu, lanutanbagio, medang keran, melawis, ramin telur, sang su, seriangan  |
| <i>Guaiacum</i> spp.                   | Lignum vitae       | Guayacan, palo santo   |
| <i>Magnolia liliifera</i> var. obovata | Magnolia           | Balukhat, baranthuri, boramthuri, champak, giogi, harré, safan, siffo, taungme   |
| <i>Oreomunnea pterocarpa</i>           | Gavilan            | Campana, engelhardia pterocarpa, gavilán blanco  |
| <i>Pericopsis elata</i>                | Afrormosia         | Anyeran, asamela, assamela, assemela, awawai, ayin, baracara, benin satinwood, bohala, bohalala, bonsamdua, devils tree, egbi, ejen, golden afrormosia, iatobahy do igapo, kokriki, kokrodua, liguminosae, mekoe, mohole, obang, ole, olél pardo, peonio, redbark, satinwood, tento, wahala, yellow satinwood  |

FIGURE 2-3 List of Common Names for CITES Appendix I, Appendix II, and Appendix III Timber Species



| Scientific Name                  | Common Name                | Other Common Names  |
|----------------------------------|----------------------------|---|
| <i>Pilgerodendron uviferum</i>   | Pilgerodendron             | Chilean cedar, ciprés, ciprés de Chile, ciprés de Cordillera, ciprés de las Islas Len, cipresso del Cile, cyprès du Chili, lahuan, lanutanbagio, libocedri dell'america meridion, patagonian cypress, patagonian pilgerodendron, ten, thuja tetragona,  |
| <i>Platymiscium pleiostachym</i> | Cristobal graradillo       | Cachimbo, cristóbal, ñambar, roble colorado   |
| <i>Podocarpus neriifolius</i>    | Podocarp                   | Amanu, black pine, brown pine, bukiti, jati bukit   |
| <i>Podocarpus parlatorei</i>     | Parlatore's podocarp       | Pino blanco, pino del cerro, pino montano   |
| <i>Pterocarpus santalinus</i>    | Red sandalwood, Redsanders | Atti, chandanam, chandanum, honne   |
| <i>Swietenia humilis</i>         | Pacific Coast mahogany     | Caoba, mabu, Pacific mahogany   |
| <i>Swietenia macrophylla</i>     | Bigleaf mahogany           | Acajou, acajou Amerique, acajou d'Amerique, acajou du Honduras, Adoa, aguano, American mahogany, Americkaans mahonie, Amerikanns mahonie, ara putange, araputanga, bastard lime, bay-mahogany, baywood, belize mahogany, caoba, Honduras mahogany, mara, mogno  |
| <i>Swietenia mahogani</i>        | Caribbean mahogany         | Acajou, acajou de Cuba, acajou de Saint Domingue, acajou de St. Domingue, acajou des Antilles, aguano, antillen mahogani, bay mahogany, caoba, caoba de santo domingo, caoba dominicana, caobilla, chiculte, cobano, Cuban mahogany, curlet mahogany, Dominican mahogany, echites mahagoni, gateado, Jamaica mahogany, Kuba mahogany, maderia, mahagoni, mahog, mahogany, mahogany du pays, mahogany petites feuilles, mahok, mahoni, mongo, orura, small-leaf mahogany, West Indian mahogany, West Indies mahogany |
| <i>Tetracentron sinense</i>      | Tetracentron               | Shui quing shu  |

FIGURE 2-3 List of Common Names for CITES Appendix I, Appendix II, and Appendix III Timber Species  
(continued)

## Step 2: Confirm the Article Being Imported Is Regulated

CITES annotates some of the listed timber species to include or exclude certain parts and derivatives. To confirm that the listed article being imported is regulated by CITES Appendix I, Appendix II, or Appendix III, inspect the consignment and verify the description of the commodity on the accompanying shipping documents. Then continue, using [Table 2-1](#).


**TABLE 2-1 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III**

| If the timber species is:   | And the country of origin is:  | And the parts or derivatives being imported are:   | Then:  |
|---|--|--|--|
| <br><b>Important</b> | Other woody species and species that simulate the growth characteristics of woody species (such as cycads and palms), used solely for medicinal/herbal medicines or as horticultural specimens are <b>not</b> covered in this manual. See the "Miscellaneous and Processed Products" section of the <i>Non-Propagative Manual</i> or "Table 1: Regulated Propagative Material" of the <i>Port of Entry Manual</i> (M319.37). |  |  |
|   | <i>Abies guatemalensis</i><br>(Guatemalan fir)   | Any country<br>All parts and derivatives, including manufactured and finished products <sup>1</sup>                | The articles are <b>CITES Appendix I</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 2-14  |
|   | <i>Araucaria araucana</i><br>(Monkey puzzle tree)  | Any country<br>All parts and derivatives, including manufactured and finished products <sup>2</sup>                | The articles are <b>CITES Appendix I</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 2-14  |
|   | <i>Caryocar costaricense</i><br>(ajillo)   | Any country<br>All parts and derivatives, including manufactured and finished products <sup>3</sup>                | The articles are <b>CITES Appendix II</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 2-14   |
|   | <i>Cedrela odorata</i><br>(Spanish cedar)  | Colombia or Peru<br>(includes articles originating in Columbia or Peru that were re-exported from another country) | <ul style="list-style-type: none"> <li>◆ Logs<sup>4</sup></li> <li>◆ Lumber<sup>5</sup></li> <li>◆ Veneer<sup>6</sup></li> </ul>   |
|   |  | Other than logs, lumber, or veneer   | <ul style="list-style-type: none"> <li>1. VERIFY, by physical inspection, that the articles are <b>not</b> logs, lumber, or veneer; then the articles are <b>not</b> regulated by CITES</li> <li>2. EXIT this manual</li> </ul>            |
|   | Other than Columbia or Peru  |                                | <ul style="list-style-type: none"> <li>1. REVIEW the shipping documents to verify the country of origin is <b>other than</b> Columbia or Peru; then the articles are <b>not</b> regulated by CITES</li> <li>2. EXIT this manual</li> </ul> |
| <i>Dalbergia nigra</i><br>(Brazilian rosewood)  | Any country  | All parts and derivatives, including manufactured and finished products <sup>7</sup>                               | The articles are <b>CITES Appendix I</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 2-14  |

**TABLE 2-1 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III (continued)**

| If the timber species is:                             | And the country of origin is: | And the parts or derivatives being imported are:   | Then:   |
|---|-------------------------------|--|---|
| <i>Dipteryx panamensis</i> (almendro)                 | Any country                   | All parts and derivatives, including manufactured and finished products <sup>8</sup>   | The articles are <b>CITES Appendix III</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 2-14   |
| <i>Fitzroya cupressoides</i> (alerce)                 | Any country                   | All parts and derivatives, including manufactured and finished products <sup>9</sup>   | The articles are <b>CITES Appendix I</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 2-14   |
| <i>Gonystylus</i> spp. (ramin)                        | Any country                   | All parts and derivatives, including manufactured and finished products <sup>10</sup>  | The articles are <b>CITES Appendix II</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 2-14  |
| <i>Guaiacum</i> spp. (lignum vitae)                   | Any country                   | All parts and derivatives, including manufactured and finished products <sup>11</sup>  | The articles are <b>CITES Appendix II</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 2-14  |
| <i>Magnolia liliifera</i> var. obovata                | Any country                   | All parts and derivatives, including manufactured and finished products <sup>12</sup>  | The articles are <b>CITES Appendix III</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 2-14   |
| <i>Oreomunnea pterocarpa</i> (gavilan)                | Any country                   | All parts and derivatives, including manufactured and finished products <sup>13</sup>  | The articles are <b>CITES Appendix II</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 2-14  |
| <i>Pericopsis elata</i> (afromosia)                   | Any country                   | <ul style="list-style-type: none"> <li>◆ Logs<sup>4</sup></li> <li>◆ Lumber<sup>5</sup></li> <li>◆ Veneer<sup>6</sup></li> </ul> | The articles are <b>CITES Appendix II</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 2-14  |
|   |                               | <b>Other than</b> logs, lumber, or veneer  | 1. VERIFY, by physical inspection, that the articles are <b>not</b> logs, lumber, or veneer; then the articles are <b>not</b> regulated by CITES<br>2. EXIT this manual |
| <i>Pilgerodendron uviferum</i> (pilgerodendron)       | Any country                   | All parts and derivatives, including manufactured and finished products <sup>14</sup>  | The articles are <b>CITES Appendix I</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 2-14   |
| <i>Platymiscium pleiostachym</i> (cristobal gradillo) | Any country                   | All parts and derivatives, including manufactured and finished products <sup>15</sup>  | The articles are <b>CITES Appendix II</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 2-14  |

**TABLE 2-1 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III (continued)**

| If the timber species is:                                     | And the country of origin is:  | And the parts or derivatives being imported are:   | Then:  |
|---|--|--|--|
| <i>Podocarpus neriifolius</i><br>(podocarp)                   | Any country  | All parts and derivatives, including manufactured and finished products <sup>16</sup>  | The articles are <b>CITES Appendix III</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 2-14  |
| <i>Podocarpus parlatoiei</i><br>(Parlatore's podocarp)        | Any country  | All parts and derivatives, including manufactured and finished products <sup>17</sup>  | The articles are <b>CITES Appendix I</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 2-14  |
| <i>Pterocarpus santalinus</i><br>(red sandalwood, redsanders) | Any country  | <ul style="list-style-type: none"> <li>◆ Logs<sup>4</sup></li> <li>◆ Unprocessed broken material</li> <li>◆ Wood chips</li> </ul>                                | The articles are <b>CITES Appendix II</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 2-14   |
|   |  | <b>Other than</b> logs, unprocessed broken material, or wood chips   | 1. VERIFY, by physical inspection, that the articles are <b>not</b> logs, unprocessed broken material, or wood chips; then the articles are <b>not</b> regulated by CITES<br>2. EXIT this manual |
| <i>Swietenia humilis</i><br>(Pacific Coast mahogany)          | Any country  | All parts and derivatives, including manufactured and finished products <sup>18</sup>  | The articles are <b>CITES Appendix II</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 2-14   |
| <i>Swietenia macrophylla</i><br>(bigleaf mahogany)            | The Americas <sup>19</sup><br>(includes articles originating in The Americas that were re-exported from another country) | <ul style="list-style-type: none"> <li>◆ Logs<sup>4</sup></li> <li>◆ Lumber<sup>5</sup></li> <li>◆ Plywood<sup>20</sup></li> <li>◆ Veneer<sup>6</sup></li> </ul> | The articles are <b>CITES Appendix II</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 2-14   |
|   |  | <b>Other than</b> logs, lumber, plywood, or veneer   | 1. VERIFY, by physical inspection, that the articles are <b>not</b> logs, lumber, plywood, or veneer; then the articles are <b>not</b> regulated by CITES<br>2. EXIT this manual                 |
|   | <b>Other than</b><br>The Americas  |    | 1. REVIEW the shipping documents to verify the country of origin is <b>other than</b> the Americas; then the articles are <b>not</b> regulated by CITES<br>2. EXIT this manual                   |

**TABLE 2-1 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III (continued)**

| If the timber species is:                          | And the country of origin is: | And the parts or derivatives being imported are:   | Then:  |
|--|-------------------------------|--|--|
| <i>Swietenia mahoganii</i><br>(Caribbean mahogany) | Any country                   | <ul style="list-style-type: none"> <li>◆ Logs<sup>4</sup></li> <li>◆ Lumber<sup>5</sup></li> <li>◆ Veneer<sup>6</sup></li> </ul> | <p>The article is <b>CITES Appendix II</b> regulated</p> <p>GO to <a href="#">Step 3: Determine Your Authority</a> on page 2-14</p>  |
|  |                               | Other than logs, lumber, or veneer   | <p>1. VERIFY, by physical inspection, that the articles are <b>not</b> logs, lumber, or veneer; then the articles are <b>not</b> regulated by CITES</p> <p>2. EXIT this manual</p> |
| <i>Tetracentron sinense</i><br>(tetracentron)      | Any country                   | All parts and derivatives, including manufactured and finished products <sup>21</sup>  | <p>The articles are <b>CITES Appendix III</b> regulated</p> <p>GO to <a href="#">Step 3: Determine Your Authority</a> on page 2-14</p>   |

- 1 Includes building material, cabinetmaking material, charcoal, firewood, flooring, food containers, fuel wood, furniture, joinery, light construction material, matches, particleboard, plywood, pulp/paper products, roof shingles, and veneer.
- 2 Includes construction material, flooring, furniture, joinery, plywood, pulp/paper products, railroad ties, and vehicle parts.
- 3 Includes railroad ties.
- 4 All wood in the rough whether or **not** stripped of bark or sapwood, or roughly squared for processing, notably into sawn wood, pulpwood, or veneer sheets (HS Code 44.03). See [Appendix E, Harmonized System of World Customs Organization \(HS\) Codes](#).
- 5 Wood simply sawn lengthwise or produced by a profile-chipping process; normally exceeds 6mm in thickness (HS Code 44.06, HS Code 44.07). See [Appendix E](#).
- 6 Thin layers or sheets of wood of uniform thickness, usually 6mm or less, usually peeled or sliced for use in making plywood, for veneering furniture, veneer containers, etc. (HS Code 44.08). See [Appendix E](#).
- 7 Includes bedroom furniture, billiard-cue butts, boat building (general), bobbins, boxes and crates, brush backs and handles, cabinetmaking material, chairs, chests, decorative plywood, musical instruments (especially guitars) and parts of musical instruments (sides and backs) for the manufacturer; and veneer.
- 8 Includes agricultural implements, bearings and bushings, barge and dock fenders, boat construction articles, chemical derivatives, cogs and shafts, cross ties, fishing rods, flooring, furniture, heavy construction and pulp mill equipment, railroad ties, sporting goods, tool handles, turnery, and veneer.
- 9 Includes agricultural implements, boat building materials (general), boat masts, boxes and crates, cabinetmaking materials, carvings, cigar boxes, construction materials, cooperages, flooring, food containers, fuel wood, furniture, furniture components, joinery, mathematical instruments, mine timbers, musical instruments, particleboard, pencils, piling, plywood, poles, pulp/paper products, shakes, shingles, sporting goods, toys, and vats.
- 10 Includes brush backs, building materials, ceilings, counter tops, door frames, dowels, flooring, furniture, joinery, mouldings, nonstriking handles (such as brooms and umbrellas), paneling, picture frames, plywood, pool cues and racks, rulers, shoji screens, stair treads, stringers, tool handles, toys, trays, tripods, turnery, venetian blinds, window blinds, and window frames.
- 11 Includes bearings and bushings, boat building materials (general), brush backs and handles, bush blocks, farm vehicles, furniture, golf club heads, machinery parts, marine construction material, mathematical instruments, naval architecture, pulley sheaves, railroad ties, shade rollers, sporting goods, tables, textile equipment, turnery, and wheels.
- 12 Trade in this species is rare. If you encounter a regulated article made of this species, then contact the Manuals Unit to add the article to this list.



- 13 Includes a variety of uses within the species' natural range. If you encounter a regulated article made of this species, then contact the Manuals Unit to add the article to this list.
- 14 Includes flooring, furniture, posts, and timber. (Wood is noted for its longevity in moist environments.)
- 15 Includes furniture, musical instruments, timber, and veneer.
- 16 Trade in this species is rare. If you encounter a regulated article made of this species, then contact the Manuals Unit to add the article to this list.
- 17 Includes timber.
- 18 Includes timber.
- 19 The Americas include Central America, North America (includes Mexico **only**), and South America.
- 20 Consisting of three or more sheets of wood glued and pressed one on the other and generally disposed so that the grains of successive layers are at an angle (HS Code 44.12.13, HS Code 44.12.14, and HS Code 44.12.22). See [Appendix E](#).
- 21 Trade in this species is rare. If you encounter a regulated article that is **not** listed, then contact the Manuals Unit to add the article to this list.

### Step 3: Determine Your Authority

If you are **not** certain that your port is designated for the importation of CITES regulated timber, then check the Web site <http://www.aphis.usda.gov/ppq/permits/plantproducts/cites-esa.html>.

If you are located at a CITES designated port, then continue to **Step 4: Determine Which Documents Are Needed**.

If you are **not** located at a CITES-designated port, then have the owner or owner's agent arrange to move the shipment under Customs and Border Protection's (CBP) bond to a designated port (at the owner's expense). Notify the designated port of the pending arrival.

See **Table 2-2 on page 2-16** to determine which documents are required for the importation of CITES Appendix I timber species.

### Step 4: Determine Which Documents Are Needed

To determine which documents are needed for the legal importation of CITES regulated timber, use the appropriate table as follows:

- ◆ CITES Appendix I, see **Table 2-2**
- ◆ CITES Appendix II, see **Table 2-3**
- ◆ CITES Appendix III, see **Table 2-4**



In addition to any import permits and documents listed as required in this manual, additional import permits and other documentation may also be required under 7 CFR 319.40. See the "Wood and Forest Products (Articles of the Timber and Lumber Industry)" section of the *Miscellaneous and Processed Products Manual* (available at [http://www.aphis.usda.gov/ppq/manuals/port/pdf\\_files/50Miscellaneous.pdf](http://www.aphis.usda.gov/ppq/manuals/port/pdf_files/50Miscellaneous.pdf)).

### Required Documents for Importation of Appendix I Timber Species

The importation of a CITES Appendix I timber species is permitted when presented with appropriate CITES documentation for the following categories of trade:


- ◆ Articles derived from trees cut in the wild for non-commercial use (when presented with a CITES Export Permit or Re-export Certificate and a CITES Import Permit)
- ◆ Articles derived from plantation-grown trees (when presented with a CITES Certificate of Artificial Propagation)
- ◆ Articles acquired prior to the date the Convention listed the species (when presented with a CITES Certificate for Pre-Convention specimens)



Commercial trade in CITES Appendix I species originating from the wild is prohibited.

See **Table 2-2 on page 2-16** to determine which documents are required for the importation of CITES Appendix I Regulated Timber Species.

**TABLE 2-2 Determine Which Documents Are Needed for the Importation of CITES Appendix I Timber Species**

| If the article traded comes from:  | And the country of origin is: | And the permittee is:                          | And the importer: | Then:                           |
|--|-------------------------------|--|-------------------|---------------------------------|
| <div>  <p><b>Important</b></p> </div> <p>Use these guidelines in conjunction with 7CFR 319.40 (see the “Wood and Other Forest Products (Articles of the Timber and Lumber Industry)” section of the <i>Miscellaneous and Processed Products Manual</i> (available at <a href="http://www.aphis.usda.gov/ppq/manuals/port/pdf_files/50Miscellaneous.pdf">http://www.aphis.usda.gov/ppq/manuals/port/pdf_files/50Miscellaneous.pdf</a>), and the Plant Protection Act. When applying these guidelines, first apply the regulations that prevent the entry of plant pests. In addition to PPQ Form 622, <i>General Permit</i> or <i>Protected Plant Permit</i>, many wood and forest products also require PPQ Form 597, <i>Import Permit for Plants and Plant Products</i> (see also PPQ Form 585, <i>Application to Import Timber or Timber Products</i>).</p> |                               |  |                   |                                 |
| <ul style="list-style-type: none"> <li>◆ <i>Abies guatemalensis</i> (Guatemalan fir)</li> <li>◆ <i>Araucaria araucana</i> (monkey puzzle tree)</li> <li>◆ <i>Dalbergia nigra</i> (Brazilian rosewood)</li> <li>◆ <i>Fitzroya cupressoides</i> (alerce)</li> <li>◆ <i>Pilgerodendron uviferum</i> (<i>pilgerodendron</i>)</li> <li>◆ <i>Podocarpus parlatorei</i> (Parlatore’s podocarp)</li> </ul>   | Any country                   | Engaged in commercial business <sup>1, 2</sup> | →                 | GO to <a href="#">page 2-17</a> |
|  |                               | Not engaged in commercial business             | →                 | GO to <a href="#">page 2-18</a> |

**TABLE 2-2 Determine Which Documents Are Needed for the Importation of CITES Appendix I Timber Species (continued)**

| If the article traded comes from:   | And the country of origin is: | And the permittee is:                          | And the importer:   | Then:   |
|---|-------------------------------|--|---|---|
| <ul style="list-style-type: none"> <li>◆ <i>Abies guatemalensis</i> (Guatemalan fir)</li> <li>◆ <i>Araucaria araucana</i> (monkey puzzle tree)</li> <li>◆ <i>Dalbergia nigra</i> (Brazilian rosewood)</li> <li>◆ <i>Fitzroya cupressoides</i> (alerce)</li> <li>◆ <i>Pilgerodendron uviferum</i> (pilgerodendron)</li> <li>◆ <i>Podocarpus parlatorei</i> (Parlatore's podocarp)</li> </ul> | Any country                   | Engaged in commercial business <sup>1, 2</sup> | Presents a USDA-issued <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i> , and <b>one</b> of the following <b>CITES-issued original</b> <sup>3</sup> Appendix I documents: <ul style="list-style-type: none"> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> </ul> Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table | GO to <a href="#">Step 5: Collect the Appropriate Documents Associated with the Shipment</a> on page 2-35                                   |
|   |                               |  | <b>Lacks</b> the required CITES document  | 1. PLACE the shipment on HOLD<br>2. GO to <a href="#">Violations, Seizures, and Forfeitures</a> on page 4-1                                 |
|   |                               |  | <b>Lacks</b> <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i>   | ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see <a href="#">Application for a Protected Plant Permit</a> on page 2-39) |
|   |                               |  | Has an <b>expired</b> <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i>  |   |
|   |                               | <b>Not</b> engaged in commercial business      | —————→  | GO to <a href="#">page 2-18</a>   |

**TABLE 2-2 Determine Which Documents Are Needed for the Importation of CITES Appendix I Timber Species (continued)**

| If the article traded comes from:  | And the country of origin is: | And the permittee is:              | And the importer:  | Then:  |
|--|-------------------------------|------------------------------------|--|--|
| <ul style="list-style-type: none"> <li>◆ <i>Abies guatemalensis</i> (Guatemalan fir)</li> <li>◆ <i>Araucaria araucana</i> (monkey puzzle tree)</li> <li>◆ <i>Dalbergia nigra</i> (Brazilian rosewood)</li> <li>◆ <i>Fitzroya cupressoides</i> (alerce)</li> <li>◆ <i>Pilgerodendron uviferum</i> (<i>pilgerodendron</i>)</li> <li>◆ <i>Podocarpus parlatorei</i> (Parlatore's podocarp)</li> </ul> | Any country                   | Not engaged in commercial business | <p>Presents <b>both</b> of the following <b>CITES-issued original</b><sup>3</sup> Appendix I documents:</p> <ul style="list-style-type: none"> <li>◆ Import Permit</li> <li>◆ Export Permit or Re-export Certificate</li> </ul> <p><b>OR</b></p> <p>Presents <b>one</b> of the following <b>CITES-issued original</b> Appendix I documents:</p> <ul style="list-style-type: none"> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> </ul> <p>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table</p> | <p>GO to <b>Step 5: Collect the Appropriate Documents Associated with the Shipment</b> on page 2-35</p>  |
|  |                               |                                    | Lacks the required CITES document  | <ol style="list-style-type: none"> <li>1. PLACE the shipment on HOLD</li> <li>2. GO to <b>Violations, Seizures, and Forfeitures</b> on page 4-1</li> </ol> |

- 1 Engaged in commercial business is defined as trade for the purpose of selling, bartering, collecting, or otherwise as a livelihood for gain or profit.
- 2 Commercial trade in CITES Appendix I species originating from the wild is **prohibited**.
- 3 A CITES-issued original is defined as an original CITES document issued by a CITES Management Authority or an authority authorized by a CITES Management Authority.


**Required  
Documents for  
Importation of  
Appendix II  
Timber Species**

The importation of CITES Appendix II timber species is permitted when presented with the appropriate CITES documentation for the following categories of trade:

- ◆ Articles derived from trees cut in the wild  
(when presented with a CITES Export Permit or Re-export Certificate)
- ◆ Articles derived from plantation-grown trees  
(when presented with a CITES Certificate of Artificial Propagation)
- ◆ Articles acquired prior to the date the CITES Convention listed the species  
(when presented with a CITES Certificate for Pre-Convention specimens)

See **Table 2-3 on page 2-20** to determine which documents are required for the importation of CITES Appendix II regulated timber species.

**TABLE 2-3 Determine Which Documents Are Needed for the Importation of CITES Appendix II Regulated Timber Species**

| If the article traded comes from:  | And the country of origin is: | And the permitted is:                       | And the importer: | Then:                           |
|--|-------------------------------|---|-------------------|---------------------------------|
|  <p><b>Important</b></p> <p>Use these guidelines in conjunction with 7CFR 319.40 (see the “Wood and Other Forest Products (Articles of the Timber and Lumber Industry)” section of the <i>Miscellaneous and Processed Products Manual</i> (available at <a href="http://www.aphis.usda.gov/ppq/manuals/port/pdf_files/50Miscellaneous.pdf">http://www.aphis.usda.gov/ppq/manuals/port/pdf_files/50Miscellaneous.pdf</a>), and the Plant Protection Act. When applying these guidelines, first apply the regulations that prevent the entry of plant pests. In addition to PPQ Form 622, <i>General Permit or Protected Plant Permit</i>, many wood and forest products also require PPQ Form 597, <i>Import Permit for Plants and Plant Products</i> (see also PPQ Form 585, <i>Application to Import Timber or Timber Products</i>).</p> |                               |   |                   |                                 |
| <ul style="list-style-type: none"> <li>◆ <i>Caryocar costaricense</i> (ajillo)</li> <li>◆ <i>Gonystylus</i> spp. (ramin)<sup>1</sup></li> <li>◆ <i>Guaiaacum</i> spp. (lignum vitae)</li> <li>◆ <i>Oreomunnea pterocarpa</i> (gavilan)</li> <li>◆ <i>Pericopsis elata</i> (afroormosia)</li> <li>◆ <i>Platymiscium pleiostachyum</i> (cristóbal, granadillo)</li> <li>◆ <i>Pterocarpus santalinus</i> (red sandalwood, redsanders)</li> <li>◆ <i>Swietenia humilis</i> (Pacific Coast mahogany)</li> </ul>   | Any country                   | Engaged in commercial business <sup>2</sup> | →                 | GO to <a href="#">page 2-21</a> |
|  |                               | Not engaged in commercial business          |                   | GO to <a href="#">page 2-22</a> |
| <i>Swietenia macrophylla</i> <sup>3</sup> (bigleaf mahogany)   | The Americas <sup>4</sup>     | Engaged in commercial business <sup>2</sup> | →                 | GO to <a href="#">page 2-23</a> |
|  |                               | Not engaged in commercial business          | →                 | GO to <a href="#">page 2-23</a> |
|  | Other than The Americas       |   | →                 | GO to <a href="#">page 2-24</a> |
| <i>Swietenia mahoganyi</i> (Caribbean mahogany)  | Any country                   | Engaged in commercial business <sup>2</sup> | →                 | GO to <a href="#">page 2-24</a> |
|  |                               | Not engaged in commercial business          | →                 | GO to <a href="#">page 2-25</a> |



**TABLE 2-3 Determine Which Documents Are Needed for the Importation of CITES Appendix II Regulated Timber Species (continued)**

| If the article traded comes from:  | And the country of origin is: | And the permitted is:                       | And the importer:  | Then:   |
|--|-------------------------------|---|--|---|
| <ul style="list-style-type: none"> <li>◆ <i>Caryocar costaricense</i> (ajillo)</li> <li>◆ <i>Gonystylus</i> spp. (ramin)<sup>1</sup></li> <li>◆ <i>Guaiaacum</i> spp. (lignum vitae)</li> <li>◆ <i>Oreomunnea pterocarpa</i> (gavilan)</li> <li>◆ <i>Pericopsis elata</i> (afroormosia)</li> <li>◆ <i>Platymiscium pleiostachyum</i> (cristóbal, granadillo)</li> <li>◆ <i>Pterocarpus santalinus</i> (red sandalwood, redsanders)</li> <li>◆ <i>Swietenia humilis</i> (Pacific Coast mahogany)</li> </ul> | Any country                   | Engaged in commercial business <sup>2</sup> | Presents a USDA-issued <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i> , and <b>one</b> of the following <b>CITES-issued original</b> <sup>5</sup> Appendix II documents: <ul style="list-style-type: none"> <li>◆ Export Permit</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul> Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table | GO to <a href="#">Step 5: Collect the Appropriate Documents Associated with the Shipment</a> on page 2-35                                   |
|  |                               |   | <b>Lacks</b> the required CITES document   | 1. PLACE the shipment on HOLD<br>2. GO to <a href="#">Violations, Seizures, and Forfeitures</a> on page 4-1                                 |
|  |                               |   | <b>Lacks</b> <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i>  | ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see <a href="#">Application for a Protected Plant Permit</a> on page 2-39) |
|  |                               |   | Has an <b>expired</b> <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i>   |   |
|  |                               | Not engaged in commercial business          | —————→   | GO to <a href="#">page 2-22</a>   |
| <i>Swietenia macrophylla</i> <sup>3</sup> (bigleaf mahogany)   | The Americas <sup>4</sup>     | —————→                                      | —————→   | GO to <a href="#">page 2-23</a>   |
|  | Other than The Americas       | —————→                                      | —————→   | GO to <a href="#">page 2-24</a>   |
| <i>Swietenia mahogani</i> (Caribbean mahogany)   | Any country                   | —————→                                      | —————→   | GO to <a href="#">page 2-24</a>   |

**TABLE 2-3 Determine Which Documents Are Needed for the Importation of CITES Appendix II Regulated Timber Species (continued)**

| If the article traded comes from:  | And the country of origin is: | And the permitted is:                       | And the importer:   | Then:   |
|--|-------------------------------|---|---|---|
| <ul style="list-style-type: none"> <li>◆ <i>Caryocar costaricense</i> (ajillo)</li> <li>◆ <i>Gonystylus</i> spp. (ramin)<sup>1</sup></li> <li>◆ <i>Guaiaacum</i> spp. (lignum vitae)</li> <li>◆ <i>Oreomunnea pterocarpa</i> (gavilan)</li> <li>◆ <i>Pericopsis elata</i> (afroormosia)</li> <li>◆ <i>Platymiscium pleiostachyum</i> (crístóbal, granadillo)</li> <li>◆ <i>Pterocarpus santalinus</i> (red sandalwood, redsanders)</li> <li>◆ <i>Swietenia humilis</i> (Pacific Coast mahogany)</li> </ul> | Any country                   | Not engaged in commercial business          | <p>Presents <b>one</b> of the following CITES-issued original<sup>5</sup> Appendix II documents:</p> <ul style="list-style-type: none"> <li>◆ Export Permit</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul> <p>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table</p> | GO to <a href="#">Step 5: Collect the Appropriate Documents Associated with the Shipment</a> on page 2-35   |
|  |                               |   | Lacks the required CITES document   | <ol style="list-style-type: none"> <li>1. PLACE the shipment on HOLD</li> <li>2. GO to <a href="#">Violations, Seizures, and Forfeitures</a> on page 4-1</li> </ol> |
| <i>Swietenia macrophylla</i> <sup>3</sup> (bigleaf mahogany)   | The Americas <sup>4</sup>     | _____→                                      | _____→  | GO to <a href="#">page 2-23</a>   |
|  | Other than The Americas       | _____→                                      | _____→  | GO to <a href="#">page 2-24</a>   |
| <i>Swietenia mahogani</i> (Caribbean mahogany)   | Any country                   | Engaged in commercial business <sup>2</sup> | _____→  | GO to <a href="#">page 2-24</a>   |
|  |                               | Not engaged in commercial business          | _____→  | GO to <a href="#">page 2-25</a>   |

**TABLE 2-3 Determine Which Documents Are Needed for the Importation of CITES Appendix II Regulated Timber Species (continued)**

| If the article traded comes from:                               | And the country of origin is:   | And the permitted is:                       | And the importer:  | Then:   |
|---|---|---|--|---|
| <i>Swietenia macrophylla</i> <sup>3</sup><br>(bigleaf mahogany) | The Americas <sup>4</sup><br>(includes articles originating in The Americas that were re-exported from another country) | Engaged in commercial business <sup>2</sup> | Presents a USDA-issued <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i> , and <b>one</b> of the following <b>CITES-issued original</b> <sup>5</sup> Appendix II documents:<br>◆ Export Permit<br>◆ Certificate of Artificial Propagation (plantation grown)<br>◆ Pre-Convention Certificate<br>◆ Re-export Certificate<br><br>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table | GO to <a href="#">Step 5: Collect the Appropriate Documents Associated with the Shipment</a> on page 2-35                                   |
|   |   |   | <b>Lacks</b> the required CITES document   | 1. PLACE the shipment on HOLD<br>2. GO to <a href="#">Violations, Seizures, and Forfeitures</a> on page 4-1                                 |
|   |   |   | <b>Lacks</b> <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i>  | ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see <a href="#">Application for a Protected Plant Permit</a> on page 2-39) |
|   |   |   | Has an <b>expired</b> <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i>   |   |
|   |   | <b>Not</b> engaged in commercial business   | Presents <b>one</b> of the following <b>CITES-issued original</b> Appendix II documents:<br>◆ Export Permit<br>◆ Certificate of Artificial Propagation (plantation grown)<br>◆ Pre-Convention Certificate<br>◆ Re-export Certificate<br><br>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table   | GO to <a href="#">Step 5: Collect the Appropriate Documents Associated with the Shipment</a> on page 2-35                                   |
|   |   |   | <b>Lacks</b> the required CITES document   | 1. PLACE the shipment on HOLD<br>2. GO to <a href="#">Violations, Seizures, and Forfeitures</a>   |

**TABLE 2-3 Determine Which Documents Are Needed for the Importation of CITES Appendix II Regulated Timber Species (continued)**

| If the article traded comes from:                               | And the country of origin is:                  | And the permitted is:                       | And the importer:  | Then:   |
|---|--|---|--|---|
| <i>Swietenia macrophylla</i> <sup>3</sup><br>(bigleaf mahogany) | <b>Other than</b><br>The Americas <sup>4</sup> |   |  | <ol style="list-style-type: none"> <li>1. REVIEW the shipping documents to verify the country of origin is <b>not</b> from The Americas</li> <li>2. If <b>not</b> from The Americas, then this article is <b>not</b> regulated by CITES</li> <li>3. EXIT this manual</li> </ol> |
| <i>Swietenia mahogani</i><br>(Caribbean mahogany)               | Any country                                    | Engaged in commercial business <sup>2</sup> | <p>Presents a USDA-issued <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i>, <b>and one</b> of the following <b>CITES-issued original</b><sup>5</sup> Appendix II documents:</p> <ul style="list-style-type: none"> <li>◆ Export Permit</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul> <p>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table</p> | GO to <b>Step 5: Collect the Appropriate Documents Associated with the Shipment</b> on page 2-35  |
|   |  |   | <b>Lacks</b> the required CITES document   | <ol style="list-style-type: none"> <li>1. PLACE the shipment on HOLD</li> <li>2. GO to <b>Violations, Seizures, and Forfeitures</b> on page 4-1</li> </ol>  |
|   |  |   | <b>Lacks</b> <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i>  | ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see <b>Application for a Protected Plant Permit</b> on page 2-39)  |
|   |  |   | Has an <b>expired</b> <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i>   |   |

**TABLE 2-3 Determine Which Documents Are Needed for the Importation of CITES Appendix II Regulated Timber Species (continued)**

| If the article traded comes from:                 | And the country of origin is: | And the permitted is:                     | And the importer:  | Then:  |
|---|-------------------------------|---|--|--|
| <i>Swietenia mahogani</i><br>(Caribbean mahogany) | Any country                   | <b>Not</b> engaged in commercial business | Presents <b>one</b> of the following <b>CITES-issued original</b> <sup>5</sup> Appendix II documents:<br><ul style="list-style-type: none"> <li>◆ Export Permit</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul> Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table | GO to <b>Step 5: Collect the Appropriate Documents Associated with the Shipment</b> on page 2-35 |
|   |                               |   | <b>Lacks</b> the required CITES document   | 1. PLACE the shipment on HOLD<br>2. GO to <b>Violations, Seizures, and Forfeitures</b>           |

- 1 On January 12, 2005, *Gonystylus* spp. (ramin) moved from Appendix III to Appendix II. Therefore, on or after this date any shipment containing ramin wood (including all wood products) exported or re-exported to the United States **must** be accompanied by a CITES Appendix II Export Permit or Re-export Certificate. **Do not** accept a CITES Appendix III Export Permit, Re-export Certificate, or Certificate of Origin for *Gonystylus* spp. (ramin).
- 2 Engaged in commercial business is defined as trade for the purpose of selling, bartering, collecting, or otherwise as a livelihood for gain or profit.
- 3 Listed by the Convention to include the *Swietenia macrophylla* populations of The Americas **only**. *Swietenia macrophylla* trees cut in any country **other than** The Americas are **not** regulated by CITES.
- 4 The Americas include Central America, North America (includes Mexico **only**), and South America. The Americas also includes articles that originated in The Americas, but were re-exported from another country.
- 5 A CITES-issued original is defined as an original CITES document issued by a CITES Management Authority or an authority authorized by a CITES Management Authority.


### Required Documents for Importation of Appendix III Timber Species

The importation of CITES Appendix III timber species is permitted when presented with the appropriate documentation for the following categories of trade:

- ◆ Articles derived from trees cut in the wild originating from a country that included the species in Appendix III (when presented with a CITES Export Permit or Re-export Certificate)
- ◆ Articles derived from trees cut in the wild originating from a country **other than** the country that included the species in Appendix III (when presented with a CITES Certificate of Origin or Re-export Certificate)
- ◆ Articles derived from plantation-grown trees (when presented with a CITES Certificate of Artificial Propagation)
- ◆ Articles acquired prior to the date the CITES Convention listed the species (when presented with a CITES Certificate for Pre-Convention specimens)

See [Table 2-4 on page 2-27](#) to determine which documents are required for the importation of CITES Appendix III regulated timber species.

**TABLE 2-4 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species**

| If the timber species is:  | And the country of origin is:   | And the permittee is:                       | And the importer: | Then:                           |
|--|---|---|-------------------|---------------------------------|
| <div>  <p><b>Important</b></p> </div> <p>Use these guidelines in conjunction with 7CFR 319.40 (see the "Wood and Other Forest Products (Articles of the Timber and Lumber Industry)" section of the <i>Miscellaneous and Processed Products Manual</i> (available at <a href="http://www.aphis.usda.gov/ppq/manuals/port/pdf_files/50Miscellaneous.pdf">http://www.aphis.usda.gov/ppq/manuals/port/pdf_files/50Miscellaneous.pdf</a>), and the Plant Protection Act. When applying these guidelines, first apply the regulations that prevent the entry of plant pests. In addition to PPQ Form 622, <i>General Permit</i> or <i>Protected Plant Permit</i>, many wood and forest products also require PPQ Form 597, <i>Import Permit for Plants and Plant Products</i> (see also PPQ Form 585, <i>Application to Import Timber or Timber Products</i>).</p> |   |   |                   |                                 |
| <i>Cedrela odorata</i><br>(Spanish cedar)  | Colombia or Peru <sup>1</sup><br>(includes articles originating in Columbia or Peru that were re-exported from another country) | Engaged in commercial business <sup>2</sup> | →                 | GO to <a href="#">page 2-28</a> |
|  |   | <b>Not</b> engaged in commercial business   | →                 | GO to <a href="#">page 2-29</a> |
|  | <b>Other than</b> Columbia or Peru  | →   | →                 | GO to <a href="#">page 2-29</a> |
| <i>Dipteryx panamensis</i><br>(almendro)   | Costa Rica<br>(includes articles originating in Costa Rica that were re-exported from another country)                          | Engaged in commercial business <sup>2</sup> | →                 | GO to <a href="#">page 2-30</a> |
|  |   | <b>Not</b> engaged in commercial business   | →                 | GO to <a href="#">page 2-30</a> |
|  | <b>Other than</b> Costa Rica  | Engaged in commercial business <sup>2</sup> | →                 | GO to <a href="#">page 2-31</a> |
|  |   | <b>Not</b> engaged in commercial business   | →                 | GO to <a href="#">page 2-31</a> |
| <ul style="list-style-type: none"> <li>◆ <i>Magnolia liliifera</i> var. obovata</li> <li>◆ <i>Podocarpus neriifolius</i> (podocarp)</li> <li>◆ <i>Tetracentron sinense</i> (Tetracentron)</li> </ul>   | Nepal (includes articles originating in Nepal that were re-exported from another country)                                       | Engaged in commercial business <sup>2</sup> | →                 | GO to <a href="#">page 2-32</a> |
|  |   | <b>Not</b> engaged in commercial business   | →                 | GO to <a href="#">page 2-32</a> |
|  | <b>Other than</b> Nepal   | Engaged in commercial business <sup>2</sup> | →                 | Go to <a href="#">page 2-33</a> |
|  |   | <b>Not</b> engaged in commercial business   | →                 | GO to <a href="#">page 2-33</a> |

**TABLE 2-4 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)**

| If the timber species is:                 | And the country of origin is:   | And the permittee is:                       | And the importer:  | Then:  |
|---|---|---|--|--|
| <i>Cedrela odorata</i><br>(Spanish cedar) | Colombia or Peru <sup>1</sup><br>(includes articles originating in Columbia or Peru that were re-exported from another country) | Engaged in commercial business <sup>2</sup> | Presents a USDA-issued <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i> , and <b>one</b> of the following <b>CITES-issued original</b> <sup>3</sup> Appendix III documents:<br><ul style="list-style-type: none"> <li>◆ Export Permit</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul> Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table | GO to <a href="#">Step 5: Collect the Appropriate Documents Associated with the Shipment</a> on <a href="#">page 2-35</a>                                    |
|   |   |   | <b>Lacks</b> the required CITES document   | 1. PLACE the shipment on HOLD<br>2. GO to <a href="#">Violations, Seizures, and Forfeitures</a> on <a href="#">page 4-1</a>                                  |
|   |   |   | <b>Lacks</b> <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i>  | ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see <a href="#">Application for a Protected Plant Permit</a> on <a href="#">page 2-39</a> ) |
|   |   |   | Has an <b>expired</b> <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i>   |  |



**TABLE 2-4 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)**

| If the timber species is:                 | And the country of origin is:   | And the permittee is:                        | And the importer:   | Then:  |
|---|---|--|---|--|
| <i>Cedrela odorata</i><br>(Spanish cedar) | Colombia or Peru <sup>1</sup><br>(includes articles originating in Columbia or Peru that were re-exported from another country) | <b>Not</b><br>engaged in commercial business | Presents <b>one</b> of the following <b>CITES-issued original</b> <sup>3</sup> Appendix III documents:<br><ul style="list-style-type: none"> <li>◆ Export Permit</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul> Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table | GO to <b>Step 5: Collect the Appropriate Documents Associated with the Shipment</b> on page 2-35   |
|   |   |  | <b>Lacks</b> the required CITES document  | <ol style="list-style-type: none"> <li>1. PLACE the shipment on HOLD</li> <li>2. GO to <b>Violations, Seizures, and Forfeitures</b> on page 4-1</li> </ol>   |
|   | <b>Other than</b><br>Colombia or Peru   |  |   | <ol style="list-style-type: none"> <li>1. REVIEW the shipping documents to verify the country of origin is <b>other than</b> the Americas; if so, then this article is <b>not</b> regulated by CITES</li> <li>2. EXIT this manual</li> </ol> |

**TABLE 2-4 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)**

| If the timber species is:             | And the country of origin is:   | And the permittee is:                       | And the importer:   | Then:   |
|---------------------------------------|---|---|---|---|
| <i>Dipteryx panamensis</i> (almendro) | Costa Rica (includes articles originating in Costa Rica that were re-exported from another country) | Engaged in commercial business <sup>2</sup> | Presents a USDA-issued PPQ Form 622, General Plant Permit or Protected Plant Permit, and <b>one</b> of the following CITES-issued original <sup>3</sup> Appendix III documents:<br>◆ Export Permit<br>◆ Certificate of Artificial Propagation (plantation grown)<br>◆ Pre-Convention Certificate<br>◆ Re-export Certificate<br><br>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table | GO to <a href="#">Step 5: Collect the Appropriate Documents Associated with the Shipment</a> on page 2-35   |
|                                       |   |   | <b>Lacks</b> the required CITES document  | 1. PLACE the shipment on HOLD<br>2. GO to <a href="#">Violations, Seizures, and Forfeitures</a> on page 4-1 |
|                                       |   |   | <b>Lacks</b> PPQ Form 622, General Plant Permit or Protected Plant Permit   | 1. ALLOW the exporter to apply for a Protected Plant Permit   |
|                                       |   |   | Has an <b>expired</b> PPQ Form 622, General Permit or Protected Plant Permit  | 2. GO <a href="#">Application for a Protected Plant Permit</a> on page 2-39                                 |
|                                       |   | <b>Not</b> engaged in commercial business   | Presents <b>one</b> of the following CITES-issued original <sup>3</sup> Appendix III documents:<br>◆ Export Permit<br>◆ Certificate of Artificial Propagation (plantation grown)<br>◆ Pre-Convention Certificate<br>◆ Re-export Certificate<br><br>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table   | GO to <a href="#">Step 5: Collect the Appropriate Documents Associated with the Shipment</a> on page 2-35   |
|                                       |   |   | <b>Lacks</b> the required CITES document  | 1. PLACE the shipment on HOLD<br>2. GO to <a href="#">Violations, Seizures, and Forfeitures</a> on page 4-1 |

**TABLE 2-4 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)**

| If the timber species is:             | And the country of origin is: | And the permittee is:                       | And the importer:  | Then:  |
|---------------------------------------|-------------------------------|---|--|--|
| <i>Dipteryx panamensis</i> (almendro) | Other than Costa Rica         | Engaged in commercial business <sup>2</sup> | Presents a USDA-issued PPQ Form 622, General Plant Permit or Protected Plant Permit, and <b>one</b> of the following CITES-issued original <sup>3</sup> Appendix III documents:<br>◆ Certificate of Origin <sup>4</sup><br>◆ Certificate of Artificial Propagation (plantation grown)<br>◆ Pre-Convention Certificate<br>◆ Re-export Certificate<br><br>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table | GO to <a href="#">Step 5: Collect the Appropriate Documents Associated with the Shipment</a> on page 2-35                            |
|                                       |                               |   | <b>Lacks</b> the required CITES document   | 1. PLACE the shipment on HOLD<br>2. GO to <a href="#">Violations, Seizures, and Forfeitures</a> on page 4-1                          |
|                                       |                               |   | <b>Lacks</b> PPQ Form 622, General Permit or Protected Plant Permit  | ALLOW the exporter to apply for a Protected Plant Permit (see <a href="#">Application for a Protected Plant Permit</a> on page 2-39) |
|                                       |                               |   | Has an <b>expired</b> PPQ Form 622, General Permit or Protected Plant Permit   |  |
|                                       |                               | Not engaged in commercial business          | Presents <b>one</b> of the following CITES-issued original <sup>3</sup> Appendix III documents:<br>◆ Certificate of Origin <sup>4</sup><br>◆ Certificate of Artificial Propagation (plantation grown)<br>◆ Pre-Convention Certificate<br>◆ Re-export Certificate<br><br>Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table   | GO to <a href="#">Step 5: Collect the Appropriate Documents Associated with the Shipment</a> on page 2-35                            |
|                                       |                               |   | <b>Lacks</b> the required CITES document   | 1. PLACE the shipment on HOLD<br>2. GO to <a href="#">Violations, Seizures, and Forfeitures</a> on page 4-1                          |

**TABLE 2-4 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)**

| If the timber species is:  | And the country of origin is:   | And the permittee is:                       | And the importer:   | Then:   |
|--|---|---|---|---|
| <ul style="list-style-type: none"> <li>◆ <i>Magnolia liliifera</i> var. obovata</li> <li>◆ <i>Podocarpus neriifolius</i> (podocarp)</li> <li>◆ <i>Tetracentron sinense</i> (Tetracentron)</li> </ul> | Nepal (includes articles originating in Nepal that were re-exported from another country) | Engaged in commercial business <sup>2</sup> | Presents a USDA-issued <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i> , and <b>one</b> of the following Appendix III <b>CITES-issued original</b> <sup>3</sup> documents: <ul style="list-style-type: none"> <li>◆ Export Permit</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul> Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table | GO to <a href="#">Step 5: Collect the Appropriate Documents Associated with the Shipment</a> on page 2-35                                   |
|  |   |   | <b>Lacks</b> the required CITES document  | 1. PLACE the shipment on HOLD<br>2. GO to <a href="#">Violations, Seizures, and Forfeitures</a> on page 4-1                                 |
|  |   |   | <b>Lacks</b> <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i>   | ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see <a href="#">Application for a Protected Plant Permit</a> on page 2-39) |
|  |   |   | Has an <b>expired</b> <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i>  |   |
|  |   | Not engaged in commercial business          | Presents <b>one</b> of the following Appendix III <b>CITES-issued original</b> <sup>3</sup> documents: <ul style="list-style-type: none"> <li>◆ Export Permit</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul> Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table  | GO to <a href="#">Step 5: Collect the Appropriate Documents Associated with the Shipment</a> on page 2-35                                   |
|  |   |   | <b>Lacks</b> the required CITES document  | 1. PLACE the shipment on HOLD<br>2. GO to <a href="#">Violations, Seizures, and Forfeitures</a> on page 4-1                                 |

**TABLE 2-4 Determine Which Documents Are Needed for the Importation of CITES Appendix III Timber Species (continued)**

| If the timber species is:  | And the country of origin is: | And the permittee is:                       | And the importer:   | Then:  |
|--|-------------------------------|---|---|--|
| <ul style="list-style-type: none"> <li>◆ <i>Magnolia liliifera</i> var. obovata</li> <li>◆ <i>Podocarpus neriifolius</i> (podocarp)</li> <li>◆ <i>Tetracentron sinense</i> (Tetracentron)</li> </ul> | Other than Nepal              | Engaged in commercial business <sup>2</sup> | Presents a USDA-issued <i>PPQ Form 622, General Permit or Protected Plant Permit</i> , and one of the following Appendix III <b>CITES-issued original</b> <sup>3</sup> documents: <ul style="list-style-type: none"> <li>◆ Certificate of Origin<sup>4</sup></li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul> Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table | GO to <a href="#">Step 5: Collect the Appropriate Documents Associated with the Shipment</a> on page 2-35                            |
|  |                               |   | <b>Lacks</b> the required CITES document  | 1. PLACE the shipment on HOLD<br>2. GO to <a href="#">Violations, Seizures, and Forfeitures</a> on page 4-1                          |
|  |                               |   | <b>Lacks</b> <i>PPQ Form 622, General Permit or Protected Plant Permit</i>  | ALLOW the exporter to apply for a Protected Plant Permit (see <a href="#">Application for a Protected Plant Permit</a> on page 2-39) |
|  |                               |   | Has an <b>expired</b> <i>PPQ Form 622, General Permit or Protected Plant Permit</i>   |  |
|  |                               | Not engaged in commercial business          | REQUIRE <b>one</b> of the following Appendix III <b>CITES-issued original</b> <sup>3</sup> documents: <ul style="list-style-type: none"> <li>◆ Certificate of Origin<sup>4</sup></li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul> Other permits may be required under 7CFR 319.40; see the important advisory at the beginning of this table   | GO to <a href="#">Step 5: Collect the Appropriate Documents Associated with the Shipment</a> on page 2-35                            |
|  |                               |   | <b>Lacks</b> the required CITES document  | 1. PLACE the shipment on HOLD<br>2. GO to <a href="#">Violations, Seizures, and Forfeitures</a> on page 4-1                          |

- 1 Listed on CITES Appendix III by Colombia for *Cedrela odorata* populations of Colombia **only**, and by Peru for *Cedrela odorata* populations of Peru **only**. *Cedrela odorata* trees cut in any country **other than** Colombia or Peru are **not** regulated by CITES.
- 2 Engaged in commercial business is defined as trade for the purpose of selling, bartering, collecting, or otherwise as a livelihood for gain or profit.
- 3 A CITES-issued original is defined as an original CITES document issued by a CITES Management Authority or an authority authorized by a CITES Management Authority.
- 4 Some CITES Management Authorities will issue a CITES Export Permit in place of a CITES Certificate of Origin.

## Step 5: Collect the Appropriate Documents Associated with the Shipment

Collect the following documents associated with the shipment:

- ◆ Original CITES Export documents issued by the exporting country's CITES Management Authority
- ◆ USDA-issued *PPQ Form 622, General Plant Permit (GP)* or *Protected Plant Permit*, for importers engaged in the commercial trade of CITES listed plants (see ***PPQ Form 622, General Permit*** on page A-14 and ***PPQ Form 621, Application for Protected Plant Permit to Engage in Business of Importing, Exporting, or Re-exporting...*** on page A-12)
- ❖ If the importer **does not** have a permit, then you may allow the importer to apply for one (see ***Step 7: Ensure the General Permit or Protected Plant Permit Has Not Expired*** on page 2-39 and follow the directions for allowing the importer to renew an expired permit)
- ◆ Cargo paperwork associated with the shipment (such as bill of lading, air waybill, U.S. Customs entry, invoice, and dimensional specification sheets<sup>1</sup>)

### Timber for Importation that Has Been Re-exported from Another Country

You may encounter CITES regulated timber species, or logs or articles made from regulated timber species and offered for importation that have been re-exported from another country.

#### EXAMPLE

A shipment of Mexican lignum vitae (*Guaiacum officinale*) lumber may be re-exported from Canada to the U.S. In this case, the shipment requires a CITES Re-export Certificate from the Canadian Management Authority.

#### EXAMPLE

A shipment of Peruvian Spanish cedar (*cedrela odorata*) lumber may be re-exported from Bolivia to the U.S. In this case, the shipment requires a CITES Re-export Certificate from the Bolivian Management Authority.

For such re-exported shipments continue using these guidelines, but verify the validity of the Re-export Certificate from the Management Authority in the country from which the shipment is being re-exported rather than a CITES document from where the lumber was cut.

Continue to ***Step 6: Verify the CITES Document Is Authentic and Acceptable*** on page 2-36.

<sup>1</sup> Dimensional specification sheets are used for articles that are imported in quantities expressed in cubic meters, square meters, or board feet, and inventory the size of each piece of lumber or veneer in each bundle shipped. Usually there will be more than one dimensional inventory sheet with each shipment.

### Step 6: Verify the CITES Document Is Authentic and Acceptable

Compare the CITES document accompanying the shipment to an official example of that country's document provided in [Appendix D](#) to verify that they match. If an example of a CITES document for a particular country is **not** provided, then see the [Standard CITES Form](#) on [page D-8](#), and pay close attention to the instructions for [Block 6](#) in [Table 2-5](#).






**Do not** accept a CITES Permit or Certificate that is altered, modified, or crossed-out unless the modification or crossing out has been authenticated by the stamp and signature of the authority issuing the document.

If you are presented with an altered or questionable CITES document, then place the shipment on HOLD and contact a PPQ Regional Botanist through proper channels for assistance.

See the instructions in [Table 2-5 on page 2-37](#) to verify that the CITES document is valid.



TABLE 2-5 Instructions for CITES Document Verification and Validation

| Standardized Block No.  | Instructions  |
|---|---|
| <br><b>Important</b> | <p>The heading <i>Standardized Block No.</i> above refers to the block location on a standard CITES form; these numbers may vary according to the difference in format used by each country.</p>  |
| 1   | <p>Permit Number and Type of Document Issued</p> <p>VERIFY the type of CITES document presented (Export Permit/Certificate, Certificate of Origin, Re-export Certificate, or Other) corresponds with the category of trade</p>  |
| 2   | <p>Expiration Date</p> <ol style="list-style-type: none"> <li>1. VERIFY that the document has <b>not</b> expired</li> <li>2. If the document has expired or was issued retrospectively, then STOP processing the importation</li> <li>3. PLACE the shipment on HOLD and CONTACT a PPQ Regional Botanist (through proper channels) for assistance</li> </ol> <div> <br/> <b>Important</b> </div> <p>A CITES Certificate of Origin may be valid for up to 12 months after the issuance date. A CITES Export Permit or Re-export Certificate may be valid for up to 6 months after the issuance date; however, under specific circumstances detailed in <i>Conference Resolution 12.3, Section XI</i> (see <a href="#">page B-4</a>), the CITES Management Authority can extend the expiration date of an Export Permit or Re-export Certificate.</p>   |
| 3 & 4   | <p>Name and Address of Importer and Exporter</p> <ol style="list-style-type: none"> <li>1. VERIFY that the name and address of the importer and exporter matches the information on the accompanying shipping documents</li> <li>2. VERIFY that the CITES document designates a U.S. consignee</li> <li>3. If you are presented with a CITES document addressed to a foreign company, then PLACE the shipment on HOLD and CONTACT a PPQ Regional Botanist through proper channels</li> </ol> <div> <br/> <b>Important</b> </div> <p>Although <i>Conference Resolution 12.3, Section XI</i> (see <a href="#">page B-4</a>), accommodates for rerouting and a change of destination, this resolution is intended for the sale of logs, lumber, or veneer of CITES Appendix II or III timber species to a U.S. company while a shipment is in transit. The resolution <b>does not</b> apply to a U.S. company utilizing a CITES document issued to a foreign affiliate's address.</p> |
| 5   | <p>Special Conditions</p> <p>VERIFY that the shipment meets all special conditions placed on the shipment by the issuing Management Authority</p>   |
| 6   | <p>Name and Address of the Issuing Management Authority</p> <ol style="list-style-type: none"> <li>1. CONFIRM by comparing to an example of that country's CITES document, that the name and address on the document is the legitimate issuing authority (see <a href="#">Appendix D</a>)</li> <li>2. If the issuing authority's name and address <b>does not</b> match the example or a copy of a CITES document for the country is <b>not</b> provided, then GO to the CITES database for a list of names and addresses of all the management authorities (see <a href="http://www.cites.org/common/directy/e_directy.html">http://www.cites.org/common/directy/e_directy.html</a>)</li> </ol>  |
| 7 & 8   | <p>Scientific name (genus and species) and common name</p> <p>VERIFY by review of the shipping documents and later by inspection of the commodity, that the scientific name of the article matches the items being imported</p>   |
| 9   | <p>Description of the specimens</p> <p>VERIFY by review of the shipping documents and later by inspection of the commodity, that the description of the article matches the items being imported</p>  |

**TABLE 2-5 Instructions for CITES Document Verification and Validation (continued)**

| Standardized Block No. |  | Instructions  |
|------------------------|--|---|
| 10                     | Appendix Number  | VERIFY the CITES Appendix number (of the species being imported) listed and found in <a href="#">Table 2-1</a> agrees with the Appendix number listed on the CITES document   |
| 11                     | Quantity (including unit)                                    | VERIFY the quantity entered agrees with the quantity declared on the accompanying shipping documents (see <a href="#">Step 8: Verify the Quantities Are Authorized</a> ) and by inspection of the commodity (see <a href="#">Step 9: Inspect the Shipment</a> )   |
| 13                     | Permit/certificate issued by<br><br>Place/Date/Official Seal | 1. VERIFY the date of issuance is on or prior to the date of lading (date of export). This information can be found on the bill of lading or air waybill<br>2. If presented with a retrospectively-issued <sup>1</sup> CITES document, then <b>DO NOT ACCEPT</b> ; CONTACT your regional CITES Specialist |

<sup>1</sup> A retrospectively-issued CITES document is one that was issued after the date the shipment was exported (date of lading).

If the CITES document is presented to you with incomplete or inaccurate information, or the document has expired, or the document was issued retrospectively, or you **cannot** verify any item on the document (listed in [Table 2-5](#)), then STOP processing the importation. Place the shipment on HOLD and contact a PPQ Regional Botanist (through proper channels) for assistance.

If the CITES document is acceptable, then continue to [Step 7: Ensure the General Permit or Protected Plant Permit Has Not Expired](#).

## Step 7: Ensure the General Permit or Protected Plant Permit Has Not Expired

The USDA-issued *PPQ Form 622, General Permit or Protected Plant Permit*, is valid for two years. Check the expiration date located in the bottom left-hand corner of the *General Permit or Protected Plant Permit*. The *General Permit or Protected Plant Permit* remains valid until the expiration date specified on the permit.

If the importer **does not** have a *PPQ Form 622, General Permit or Protected Plant Permit* or the permit has expired, then continue to ***Application for a Protected Plant Permit*** below.

### Application for a Protected Plant Permit

A new application is required for both first-time applicants and upon expiration of the currently-held *General Permit or Protected Plant Permit*.



If the importer is a repeat violator who has disregarded your instructions to secure a *Protected Plant Permit*, then go to ***Violations of USDA Regulations*** on **page 4-2** before continuing in this section.

Use the following procedures for having the importer apply for the USDA-issued *PPQ Form 622, Protected Plant Permit*:

1. Call the Permit Unit at either 877/770-5990 (toll free number), or 301/734-8332. If using the toll free number, press '3' to reach the Plants Desk and ask for a *Protected Plant Permit* number.
2. Write the *Protected Plant Permit* number at the top of the application, *PPQ Form 621, Application for Protected Plant Permit to Engage in the Business of Importing Exporting, or Re-exporting Terrestrial Plants*.
3. Have the importer complete the application. Collect a check from the importer for \$70, made payable to "Plant Protection and Quarantine".
4. Mail the completed *PPQ Form 621* along with the check to the following address:

USDA-APHIS-PPQ  
PPQ Permit Unit  
4700 River Road, Unit 136  
Riverdale, MD 20737-1236

Once you are satisfied that the importer has submitted the required application and fee, then continue to process the importation.

### Step 8: Verify the Quantities Are Authorized

Review the entry paperwork accompanying the shipment to verify the quantity being imported corresponds with the quantity authorized on the CITES document (see *Block 11* on the standard CITES form).

The unit of quantity listed on a CITES document will vary according to the type of article. A list of commodities and the corresponding unit of measure or quantity (as recommended by the Convention or commonly used on CITES documents) follows in [Figure 2-4](#) below.

| Commodity  | Unit  |
|--|---|
| Dowels   | Cubic meters (m <sup>3</sup> )                                    |
| Logs   | Cubic meters (m <sup>3</sup> )                                    |
| Lumber   | Cubic meters (m <sup>3</sup> ) or board feet (bf)                 |
| Miscellaneous (furniture, pool cues, tool handles, and other similar manufactured items) | Cubic meters (m <sup>3</sup> ), number (no.), or kilograms (kg)   |
| Molding  | Cubic meters (m <sup>3</sup> )                                    |
| Musical instruments  | Number (no.)  |
| Plywood  | Square meters (m <sup>2</sup> ) or cubic meters (m <sup>3</sup> ) |
| Veneer   | Square meters (m <sup>2</sup> ) or cubic meters (m <sup>3</sup> ) |

**FIGURE 2-4** List of Commodities and Corresponding Units of Measure

For articles that are being imported in quantities recorded in units of cubic meters, square meters, or board feet, review the dimensional specification sheets or dimensional inventory tally sheets to more accurately determine the quantity shipped. To verify that the dimensional calculations on the entry papers equal the total quantity recorded on the CITES document, you may need to convert from one unit of quantity to another. See [Appendix C, Conversion Formulas](#).

Continue to [Step 9: Inspect the Shipment](#), to confirm the actual quantity shipped.

## Step 9: Inspect the Shipment

In addition to inspecting for plant pests, physically inspect the shipment to assess the actual quantity being imported.

You may have to overcome the following difficulties in assessing the volume of material being shipped:

- ◆ Accessibility of containerized cargo
- ◆ Enormity of the shipment
- ◆ Identity of the pallets comprising the shipment
- ◆ Bundles of lumber consisting of boards of various sizes

To inspect a representative sample of the shipment, assess the quantity of the shipment, and review the invoice, packing list, or dimensional specification sheets accompanying the consignment. Then determine the quantity of the representative unit (such as box, bundle, carton, etc.) of the shipment to sample. Continue to [Table 2-6](#) below.

**TABLE 2-6 Determine the Quantity of a Representative Unit for Inspection**

| If:  | Then:  |
|--|--|
| Quantity recorded on the CITES document is by weight   | VERIFY that the weight of the unit you chose to inspect matches the unit's weight as listed on the invoice or packing list   |
| Quantity recorded on the CITES document is by number of pieces   | VERIFY that the number of pieces in the unit you chose to inspect matches the unit's number of pieces as listed on the invoice or packing list   |
| Quantity recorded on the CITES document is in cubic meters, square meters, or board feet   | CONDUCT a dimensional piece count <sup>1</sup> to verify that the quantity of the unit you chose to inspect matches the quantity listed for that unit on the invoice, packing list, or dimensional specification sheet |
| Quantity found by your physical inspection of a representative sample <b>does not</b> match the quantity listed on the invoice, packing list, or dimensional specification sheet | <ol style="list-style-type: none"> <li>1. SELECT another representative unit for inspection</li> <li>2. REPEAT the procedures listed above to determine the extent of the overage</li> </ol>                           |

<sup>1</sup> To perform a dimensional piece count, you **must** measure each piece in the inspectional unit either by length and width; or by length, width, and height (thickness) and then multiply the subtotal by the number of pieces in the unit to calculate the total quantity of the unit. See [Conversion Formulas](#) for assistance.

Continue to [Table 2-7 on page 2-42](#) to determine the action to take based on your inspection.

**TABLE 2-7 Determine Action Based on Inspection Results**

| If your inspection confirms:  | Then:  |
|---|--|
| Quantity is equal to or less than the quantity listed on the CITES documents                        | CONTINUE to <a href="#">Step 10: Validate the CITES Documents With Stamp and Endorsement</a>   |
| Quantity is in excess of the quantity listed on the CITES document                                  | Shipment is in violation of CITES regulations and is subject to seizure and forfeiture   |
| Unauthorized articles (CITES regulated articles that are <b>not</b> recorded on the CITES document) | <ol style="list-style-type: none"> <li>1. SEE <a href="#">Violations, Seizures, and Forfeitures</a>, for forfeiture procedures, and CONTACT a PPQ Regional Botanist (through proper channels) for assistance with forfeiture procedures</li> <li>2. In addition to seizure and forfeiture of the shipment, the importer may be subject to civil or criminal penalties. COMPLETE <i>PPQ Form 518, Report of Violation</i>, to document the violation and CONTACT a PPQ Regional Botanist (through proper channels) to report the violation</li> </ol> |

### Step 10: Validate the CITES Documents With Stamp and Endorsement

If the shipment and permits comply with CITES and U.S. import regulations, then endorse the **original** CITES document. Use your DHS-CBP Agriculture Specialist's RELEASED stamp. This stamp **must** bear your port location. **Sign** your name in ink, and write your badge number and the date.

In addition to the original CITES document, the importer or the importer's agent **must** give you two photocopies of the original. **Never** accept a poor quality copy or facsimile. A legible copy of the original CITES document is crucial. If the importer should choose to re-export all or part of this shipment in the future, then the exporter will need this document to prove that the timber or articles entered legally. Endorse the copies the same as you endorse the original.



Being able to read the quantity on the endorsed copies is imperative. **Never** cover critical fields of the CITES document with the DHS-CBP-Agriculture Specialist or USDA-RELEASED stamp.

## Step 11: Distribute the CITES Documents

Distribute the CITES documents as follows:

- ◆ Forward the original, endorsed documents to the following office:

U.S. Fish and Wildlife Service  
Division of Management Authority  
4401 North Fairfax Drive, Room 700  
Arlington, VA 22203

- ◆ Return a legible, endorsed copy of the CITES documents to the importer or the importer's agent
- ◆ Keep a copy of the CITES documents and place in your port files (see **Preparation** on page 2-2)



CITES files **must** be retained for five years. See **Filing System** on page 2-2 for directions to maintaining a CITES file.





# 3

CITES I-II-III Timber  
Species Manual

# Re-exportation of CITES Protected Timber Species

## *Procedures*

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## Introduction

This chapter provides the guidelines for handling the re-exportation of CITES Appendix I, Appendix II, and Appendix III regulated timber species. These guidelines are to be used for the following:

- ◆ Confirming that the commodity being re-exported is in a form which is regulated
- ◆ Determining which permits and/or certificates are required for re-export
- ◆ Verifying that the documents are valid
- ◆ Inspecting the commodity to verify that the quantity in the re-export shipment matches the quantity listed on the CITES document
- ◆ Instructing the user on how to validate a CITES document
- ◆ Distributing and filing the paperwork

PPQ Plant Health Safeguarding Specialists and Export Certification Specialists should use the guidelines in this chapter in conjunction with the phytosanitary requirements of the country of final destination. (See the *Export Certification Manual* and EXCERPT for these requirements.)



A Federal Phytosanitary Certificate for Re-export for CITES Appendix I, Appendix II, or Appendix III Regulated Timber Species can **only** be issued at a designated port that is authorized to re-export CITES-regulated logs and lumber. Issuance of a Federal Phytosanitary Certificate for Re-export of CITES Appendix I, Appendix II, or Appendix III regulated timber is contingent upon compliance with all CITES requirements. Issue a Federal Phytosanitary Certificate for Re-export **only** if all CITES requirements have been satisfied.

## Preparation

As with other port documents, copies of CITES documents **must** also be filed in an organized, consistent manner. The CITES files and copies maintained at your port are important in case the originals become lost or destroyed. An accessible filing system will also enable you to comply with requests for information made by other government and non-government agencies, and the general public through the Freedom of Information Act (FOIA).

### Filing System

If you already have a filing system for retaining CITES records in place at your port, please review these instructions to be sure your system is functional. If you **do not** have a filing system in place, then follow the instructions below.

To set up a filing system, do as follows:

1. Decide on the filing system that is most practical for your location. Select one of the following methods to keep the records complete and accessible:
  - ❖ File alphabetically by permittee's name
  - ❖ File chronologically by month and year
2. Select the documents to be filed. At a minimum, you **must** file the following in the order listed below:
  - A. CITES document (**must** be a validated copy)
  - B. Dimensional specification sheets (if applicable)
  - C. Invoice/packing list
  - D. Lading bill or air waybill
  - E. Phytosanitary Certificate (if required)

After you set up your filing system, you **must** maintain each file for a minimum of five years, counting from the date the re-exportation occurred.

|                |   |
|----------------|---|
| <b>EXAMPLE</b> | A file <b>must</b> be maintained until January 24, 2011 for a re-exportation that occurred on January 24, 2006. |
|----------------|---|

## Procedures

The procedures for handling the re-exportation of CITES Appendix I, Appendix II, and Appendix III regulated timber species are summarized in **Figure 3-1**.

1. Confirm that the commodity is a CITES Appendix I, Appendix II, or Appendix III protected timber species.
2. Determine if the form of the commodity being re-exported is regulated by CITES.
3. Determine if you have the authority to validate the shipment for re-export.
4. Determine which CITES documents **must** accompany the shipment.
5. Collect all relevant documents associated with the re-exportation.
6. Verify that the CITES document accompanying the re-exportation is authentic and acceptable.
7. Verify that the USDA-issued *PPQ Form 622, General Permit or Protected Plant Permit*, has **not** expired.
8. Compare shipping documents with CITES documents to confirm quantities are authorized.
9. Inspect the shipment to make sure quantities are authorized.
10. If the shipment is in order, then validate the CITES documents by stamp and endorsement.
11. Distribute and file the endorsed documents.

**FIGURE 3-1 Summary of Procedures for Handling the Re-exportation of CITES Appendix I, Appendix II, and Appendix III Regulated Timber Species**

Follow the steps below when handling the re-exportation of CITES Appendix I, Appendix II, and Appendix III regulated timber species used for lumber or other wood products.

## Step 1: Confirm the Identity of Timber or Articles

Currently, there are six CITES Appendix I species, ten CITES Appendix II taxa (eight species and two genera), and five Appendix III species used for lumber or other wood products. The most frequently used common names are shown beside the scientific names that follow. For a list of other common names, see [Figure 3-3 on page 3-8](#).

### Appendix I Timber Species

The CITES Appendix I regulated species are as follows:

- ◆ *Abies guatemalensis* (Guatemalan fir)
- ◆ *Araucaria araucana* (monkey puzzle tree)
- ◆ *Dalbergia nigra* (Brazilian rosewood)
- ◆ *Fitzroya cupressoides* (alerce)
- ◆ *Pilgerodendron uviferum* (pilgerodendron)
- ◆ *Podocarpus parlatorei* (Palatore's podocarp)

### Appendix II Timber Species

The CITES Appendix II regulated species or genera are as follows:

- ◆ *Caryocar costaricense* (ajillo)
- ◆ *Gonystylus* spp. (ramin)



On January 12, 2005, *Gonystylus* spp. (ramin) moved from Appendix III to Appendix II. Therefore, on or after this date any shipment containing ramin wood (including all wood products) re-exported from the United States **must** be accompanied by a CITES Appendix II Re-export Certificate. **Do not** accept a CITES Appendix III Re-export Certificate.

If the wood that is being re-exported legally entered the U.S. while an Appendix III listing, then you may continue to see a foreign CITES Appendix III document (which was used to import the article), being utilized as an attachment to the USFWS-issued CITES Appendix II Re-export Certificate.

- ◆ *Guaiaacum* spp. (lignum vitae)
- ◆ *Oreomunnea pterocarpa* (gavilan)
- ◆ *Pericopsis elata* (afroormosia)
- ◆ *Platymiscium pleiostachyum* (cristobal, granadillo)
- ◆ *Pterocarpus santalinus* (red sandalwood, red sanders)
- ◆ *Swietenia humilis* (Pacific Coast mahogany)
- ◆ *Swietenia macrophylla* (bigleaf mahogany)
- ◆ *Swietenia mahogani* (Caribbean mahogany)

### Appendix III Timber Species

The CITES Appendix III regulated species are as follows:

- ◆ *Cedrela odorata* (Spanish cedar)
- ◆ *Dipteryx panamensis* (almendro)
- ◆ *Magnolia liliifera* var. *obovata*
- ◆ *Podocarpus neriifolius* (podocarp)
- ◆ *Tetracentron sinense* (tetracentron)

To confirm that the re-exportation is of a CITES Appendix I, Appendix II, or Appendix III timber species, review the shipping documents. Regulations require CITES plants be identified to their genus and species by one of the following:

- ◆ Label
- ◆ Invoice, or packing list, or tag
- ◆ Other document accompanying the shipment

For a complete list of flora regulated by CITES, see the CITES Appendixes at the following Web site:

<http://www.CITES.org/eng/appen/index.shtml>

CITES regulated timber may be manifested or invoiced by a trade name or a local name. If you are given a common name that you **do not** recognize or is **not** listed in [Figure 3-3](#), and you want to confirm the scientific name of what is being re-exported or you want to determine whether the wood is listed as regulated, then check the CITES Web site:

<http://www.CITES.org/Eng/resources/species.html>



The CITES Web site listed above **does not** include all common names for CITES-regulated species. The exporter or the exporter's agent is responsible for providing you with the scientific name of the timber species traded.

### CITES Listed Species Database

Follow the steps listed below to use the CITES-listed species database:

1. In the left column of the screen, click on "Common name" and "Find it."
2. Enter the common name (faster search), or enter part of the name (slower search).
3. At "Select a language" select "All" (default).
4. At "Select a country" select "All" (default).

5. Click on the "Search" button.
6. Select a common name from the list, then click on the "Display details" button.

For timber species commodity recognition and a synopsis of wood identification, see **Appendix F**. For detailed instructions on how to identify wood of CITES regulated species, see the *CITES Identification Guide-Tropical Woods* at the following URL:

<[http://www.cws-scf.ec.gc.ca/enforce/pdf/wood/Cites\\_Wood\\_Guide.pdf](http://www.cws-scf.ec.gc.ca/enforce/pdf/wood/Cites_Wood_Guide.pdf)>

If after inspecting the wood or articles and reviewing the export paperwork, you are still unable to determine the identity of the wood or articles, or suspect or question that the article is **not** as identified on the manifest or invoice, then contact the PPQ Botanist that services your port. The PPQ Port Botanist will either instruct you to send the sample to him or her (PPQ Port Botanist), or instruct you to forward the sample directly to the PPQ Regional Wood Identification Specialist. To locate the name and phone number of your Port Botanist, see *Appendix G, List of Identifiers in the Manual for Agricultural Clearance* (available at [http://www.aphis.usda.gov/ppq/manuals/pdf\\_files/MAC\\_in\\_PDF/AppendixG\\_Identifier.pdf](http://www.aphis.usda.gov/ppq/manuals/pdf_files/MAC_in_PDF/AppendixG_Identifier.pdf)).

If you are instructed to send the sample to the Port Botanist, then use the standard procedures at your port for sending an URGENT interception.

If you are instructed to forward the sample directly to the PPQ Regional Wood Identification Specialist, then fill out *PPQ Form 309A, Interception Record*, and enclose the specimen and the form in an escape-proof package. Affix black and yellow tape to the outside of the package, and ship using an overnight delivery service with tracking capacity. See **Figure 3-2** below,

| Region  | Regional Wood Identification Specialist  | Phone                  | FAX          |
|---------|--|------------------------|--------------|
| Eastern | Leo Castaneda, Eastern Region PPQ<br>Wood Identification Specialist<br>USDA-APHIS-PPQ<br>3500 NW 62nd Avenue<br>Miami, FL 33159                | 305/526-2825           | 305/871-4205 |
| Western | Jamal Al-Henaid, Western Region PPQ<br>Wood Identification Specialist<br>USDA-APHIS-PPQ<br>11840 South La Cienega Blvd.<br>Hawthorne, CA 90250 | 310/725-1919<br>xt 213 | 310/725-1922 |

**FIGURE 3-2 List of PPQ Regional Wood Identification Specialists**

## List of Common Names for CITES Appendix I, Appendix II, and Appendix III Timber Species

| Scientific Name                        | Common Name        | Other Common Names   |
|--|--------------------|--|
| <i>Abies guatemalensis</i>             | Guatemalan fir     | Abeto mexicano, guayami, Mexican fir, pinabete, plumajatzin, plumajillo de montaña, sapin de Guatemala   |
| <i>Araucaria araucana</i>              | Monkey puzzle tree | Apeboom, araucaria du Chile, Chilean pine, chilensk tall, Chili pine, Chili tall, Chile pine, parana pine, pehuen, pilon, pin du Chili, pino, pino araucaria, pino de Chile, pino de Neuquén, pino de Paraná, piñonero, piñón, sapin du Chili  |
| <i>Caryocar costaricense</i>           | Ajillo             | Aji, ajo, almendrillo, almendro, almendro de bajo, almendron, cagui, firme, genenè, manu, maqui-maqui cagui, pequia, pequia brava, pete rana do terra firme, petè, pete-rana, plomillo, rana do terra, swari   |
| <i>Cedrela odorata</i>                 | Spanish cedar      | Acajou rouge, akuyari, atoreb, Barbados cedar, Brazilian cedar, British Guiana cedar, British Honduras cedar, cedar, cèdra acajou, cèdre des barbaies, cèdre rouge, cedrela, cedrela wood, cedro, cedro chino, cedro colorado, cedro hembra, cedro macho, cedro obscuro, cedro real, cedro red, cedro rojo, Central American cedar, chujte, cigar-box cedar, cigarbox cedar, Colorado cedro, Cuban cedar, epi, Hondouras cedar, icte, Jamaican cedar, Kalantas, Kapere, Koperi, Kurama, Kurana, Mexican cedar, Nicaraguan cedar, parank, paranka, red cedar, rojas cedar, rosas cedar, South American cedar, Tabasco cedar, tiocuahuil, Trinidad cedar, Wesindische zedar, West Indian cedar |
| <i>Dalbergia nigra</i>                 | Brazilian rosewood | Babia rosewood, bahia rosewood, caa-biuna, cabeuna, cabiuna, cabiuna do mato, cabiuna rajada, comore, camboriuna, caviuna, jacaranda, jacarada cabiuna, jacaranda de Brasil, jacaranda wood, jacaranda-da-bahia, jacaranda-preto, jacaranda-rajado, jacaranda-roxo, jacarandaholz, jacaradanda de Brasil, legno di jacaranda, maera de palisandro, marnut, palisander, Rio rosewood  |
| <i>Dipteryx panamensis</i>             | Almendro           | Almendra, almendro de montaña, amans, choiba, eboe, ibu, iqua, Indian almond, sarrapia, tonca, tonka bean, yapo  |
| <i>Fitzroya cupressoides</i>           | Alerce             | Alerzholz, fitzroy cypress, lahuan, patagonian cypress   |
| <i>Gonystylus</i> spp.                 | Ramin              | Ampudji, gaharu, gaheu, gara buaja, kaya garu, lanutanbagio, medang keran, melawis, ramin telur, sang su, seriangan  |
| <i>Guaiacum</i> spp.                   | Lignum vitae       | Guayacan, palo santo   |
| <i>Magnolia liliifera</i> var. obovata | Magnolia           | Balukhat, baranthuri, boramthuri, champak, giogi, harré, safan, siffo, taungme   |
| <i>Oreomunnea pterocarpa</i>           | Gavilan            | Campana, engelhardia pterocarpa, gavián blanco   |
| <i>Pericopsis elata</i>                | Afrormosia         | Anyeran, asamela, assamela, assemela, awawai, ayin, baracara, benin satinwood, bohala, bohalala, bonsamdua, devils tree, egbi, ejen, golden afrormosia, iatobahy do igapo, kokriki, kokrodua, liguminosae, mekoe, mohole, obang, ole, olel pardo, peonio, redbark, satinwood, tento, wahala, yellow satinwood  |

FIGURE 3-3 List of Common Names for CITES Appendix I, Appendix II, and Appendix III Timber Species





| Scientific Name                  | Common Name                | Other Common Names  |
|----------------------------------|----------------------------|---|
| <i>Pilgerodendron uviferum</i>   | Pilgerodendron             | Chilean cedar, ciprés, ciprés de Chile, ciprés de Cordillera, ciprés de las Islas Len, cipresso del Cile, cyprès du Chili, lahuan, lanutanbagio, libocedri dell'america meridion, patagonian cypress, patagonian pilgerodendron, ten, thuja tetragona,  |
| <i>Platymiscium pleiostachym</i> | Cristobal graradillo       | Cachimbo, cristóbal, ñambar, roble colorado   |
| <i>Podocarpus neriifolius</i>    | Podocarp                   | Amanu, black pine, brown pine, bukiti, jati bukit   |
| <i>Podocarpus parlatorei</i>     | Parlatore's podocarp       | Pino blanco, pino del cerro, pino montano   |
| <i>Pterocarpus santalinus</i>    | Red sandalwood, Redsanders | Atti, chandanam, chandanum, honne   |
| <i>Swietenia humilis</i>         | Pacific Coast mahogany     | Caoba, mabu, Pacific mahogany   |
| <i>Swietenia macrophylla</i>     | Bigleaf mahogany           | Acajou, acajou Amerique, acajou d'Amerique, acajou du Honduras, Adoa, aguano, American mahogany, Americkaans mahonie, Amerikanns mahonie, ara putange, araputanga, bastard lime, bay-mahogany, baywood, belize mahogany, caoba, Honduras mahogany, mara, mogno,   |
| <i>Swietenia mahogani</i>        | Caribbean mahogany         | Acajou, acajou de Cuba, acajou de Saint Domingue, acajou de St. Domingue, acajou des Antilles, aguano, antillen mahogani, bay mahogany, caoba, caoba de santo domingo, caoba dominicana, caobilla, chiculte, cobano, Cuban mahogany, curlet mahogany, Dominican mahogany, echites mahagoni, gateado, Jamaica mahogany, Kuba mahogany, maderia, mahagoni, mahog, mahogany, mahogany du pays, mahogany petites feuilles, mahok, mahoni, mongo, orura, small-leaf mahogany, West Indian mahogany, West Indies mahogany |
| <i>Tetracentron sinense</i>      | Tetracentron               | Shui quing shu  |

**FIGURE 3-3 List of Common Names for CITES Appendix I, Appendix II, and Appendix III Timber Species (continued)**

## Step 2: Confirm the Article Being Re-exported Is Protected

CITES annotates some of the listed timber species to include or exclude certain parts and derivatives. To confirm that the listed article being re-exported is regulated by CITES Appendix I, Appendix II, or Appendix III, inspect the consignment and verify the description of the commodity on the accompanying shipping documents. Then continue to [Table 3-1](#).


**TABLE 3-1 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III**

| If the timber species is:   | And the country of origin is:  | And the parts or derivatives being re-exported are:  | Then:   |
|---|--|--|---|
|  | Other woody species and species that simulate the growth characteristics of woody species (such as cycads and palms), used solely for medicinal/herbal medicines or as horticultural specimens are <b>not</b> covered in this manual. See the "Miscellaneous and Processed Products" section of the <i>Non-Propagative Manual</i> or "Table 1: Regulated Propagative Material" of the <i>Port of Entry Manual</i> (M319.37). |  |   |
|   | <i>Abies guatemalensis</i><br>(Guatemalan fir)   | Any country<br>All parts and derivatives, including manufactured and finished products <sup>1</sup>  | The articles are <b>CITES Appendix I</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 3-15   |
|   | <i>Araucaria araucana</i><br>(Monkey puzzle tree)  | Any country<br>All parts and derivatives, including manufactured and finished products <sup>2</sup>  | The articles are <b>CITES Appendix I</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 3-15   |
|   | <i>Caryocar costaricense</i><br>(ajillo)   | Any country<br>All parts and derivatives, including manufactured and finished products <sup>3</sup>  | The articles are <b>CITES Appendix II</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 3-15  |
|   | <i>Cedrela odorata</i><br>(Spanish cedar)  | Colombia or Peru (includes articles originating in Columbia or Peru that were re-exported from another country)<br>◆ Logs <sup>4</sup><br>◆ Lumber <sup>5</sup><br>◆ Veneer <sup>6</sup> | The articles are <b>CITES Appendix III</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 3-15   |
|   |  | Other than logs, lumber, or veneer   | 1. VERIFY, by physical inspection, the articles are <b>not</b> logs, lumber, or veneer; and if <b>not</b> logs, lumber, or veneer, then they are <b>not</b> regulated by CITES<br>2. EXIT this manual |
|   |  | Other than Columbia or Peru<br>   | 1. REVIEW the shipping documents to verify the country of origin is <b>other than</b> Columbia or Peru; if so, then this article is <b>not</b> regulated by CITES<br>2. EXIT this manual              |

**TABLE 3-1 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III (continued)**

| If the timber species is:                          | And the country of origin is: | And the parts or derivatives being re-exported are:  | Then:  |
|--|-------------------------------|--|--|
| <i>Dalbergia nigra</i><br>(Brazilian rosewood)     | Any country                   | All parts and derivatives, including manufactured and finished products <sup>7</sup>   | The articles are <b>CITES Appendix I</b> regulated<br><br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 3-15                                      |
| <i>Dipteryx panamensis</i><br>(almendro)           | Any country                   | All parts and derivatives, including manufactured and finished products <sup>8</sup>   | The articles are <b>CITES Appendix III</b> regulated<br><br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 3-15                                    |
| <i>Fitzroya cupressoides</i><br>(alerce)           | Any country                   | All parts and derivatives, including manufactured and finished products <sup>9</sup>   | The articles are <b>CITES Appendix I</b> regulated<br><br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 3-15                                      |
| <i>Gonystylus</i> spp.<br>(ramin)                  | Any country                   | All parts and derivatives, including manufactured and finished products <sup>10</sup>  | The articles are <b>CITES Appendix II</b> regulated<br><br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 3-15                                     |
| <i>Guaiacum</i> spp.<br>(lignum vitae)             | Any country                   | All parts and derivatives, including manufactured and finished products <sup>11</sup>  | The articles are <b>CITES Appendix II</b> regulated<br><br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 3-15                                     |
| <i>Magnolia liliifera</i> var. obovata             | Any country                   | All parts and derivatives, including manufactured and finished products <sup>12</sup>  | The articles are <b>CITES Appendix III</b> regulated<br><br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 3-15                                    |
| <i>Oreomunnea pterocarpa</i><br>(gavilan)          | Any country                   | All parts and derivatives, including manufactured and finished products <sup>13</sup>  | The articles are <b>CITES Appendix II</b> regulated<br><br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 3-15                                     |
| <i>Pericopsis elata</i><br>(afromosia)             | Any country                   | <ul style="list-style-type: none"> <li>◆ Logs<sup>4</sup></li> <li>◆ Lumber<sup>5</sup></li> <li>◆ Veneer<sup>6</sup></li> </ul> | The articles are <b>CITES Appendix II</b> regulated<br><br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 3-15                                     |
|  |                               | <b>Other than</b> logs, lumber, or veneer  | 1. VERIFY, by physical inspection, the articles are <b>not</b> logs, lumber, or veneer; then the articles are <b>not</b> regulated by CITES<br>2. EXIT this manual |
| <i>Pilgerodendron uviferum</i><br>(pilgerodendron) | Any country                   | All parts and derivatives, including manufactured and finished products <sup>14</sup>  | The articles are <b>CITES Appendix I</b> regulated<br><br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 3-15                                      |

**TABLE 3-1 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III (continued)**

| If the timber species is:                                     | And the country of origin is:  | And the parts or derivatives being re-exported are:  | Then:  |
|---|--|--|--|
| <i>Platymiscium pleiostachym</i><br>(cristobal graradillo)    | Any country  | All parts and derivatives, including manufactured and finished products <sup>15</sup>  | The articles are <b>CITES Appendix II</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 3-15   |
| <i>Podocarpus neriifolius</i><br>(podocarp)                   | Any country  | All parts and derivatives, including manufactured and finished products <sup>16</sup>  | The articles are <b>CITES Appendix III</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 3-15  |
| <i>Podocarpus parlatorei</i><br>(Parlatore's podocarp)        | Any country  | All parts and derivatives, including manufactured and finished products <sup>17</sup>  | The articles are <b>CITES Appendix I</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 3-15  |
| <i>Pterocarpus santalinus</i><br>(red sandalwood, redsanders) | Any country  | <ul style="list-style-type: none"> <li>◆ Logs<sup>4</sup></li> <li>◆ Unprocessed broken material</li> <li>◆ Wood chips</li> </ul>                                | The articles are <b>CITES Appendix II</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 3-15   |
|   |  | <b>Other than</b> logs, unprocessed broken material, or wood chips   | 1. VERIFY, by physical inspection, that the articles are <b>not</b> logs, unprocessed broken material, or wood chips; then the articles are <b>not</b> regulated by CITES<br>2. EXIT this manual |
| <i>Swietenia humilis</i><br>(Pacific Coast mahogany)          | Any country  | All parts and derivatives, including manufactured and finished products <sup>18</sup>  | The article is <b>CITES Appendix II</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 3-15   |
| <i>Swietenia macrophylla</i><br>(bigleaf mahogany)            | The Americas <sup>19</sup><br>(includes articles originating in The Americas that were re-exported from another country) | <ul style="list-style-type: none"> <li>◆ Logs<sup>4</sup></li> <li>◆ Lumber<sup>5</sup></li> <li>◆ Plywood<sup>20</sup></li> <li>◆ Veneer<sup>6</sup></li> </ul> | The article is <b>CITES Appendix II</b> regulated<br>GO to <a href="#">Step 3: Determine Your Authority</a> on page 3-15   |
|   |  | <b>Other than</b> logs, lumber, plywood, or veneer   | 1. VERIFY, by physical inspection, the articles are <b>not</b> logs, lumber, plywood, or veneer; then the articles are <b>not</b> regulated by CITES<br>2. EXIT this manual                      |
|   | <b>Other than</b><br>The Americas  |   | 1. REVIEW the shipping documents to verify the country of origin is <b>other than</b> The Americas; then the articles are <b>not</b> regulated by CITES<br>2. EXIT this manual                   |

**TABLE 3-1 Determine if a Timber Species Is Regulated by CITES Appendix I, Appendix II, or Appendix III (continued)**

| If the timber species is:                         | And the country of origin is: | And the parts or derivatives being re-exported are:  | Then:   |
|---|-------------------------------|--|---|
| <i>Swietenia mahogani</i><br>(Caribbean mahogany) | Any country                   | <ul style="list-style-type: none"> <li>◆ Logs<sup>4</sup></li> <li>◆ Lumber<sup>5</sup></li> <li>◆ Veneer<sup>6</sup></li> </ul> | <p>The articles are <b>CITES Appendix II</b> regulated</p> <p>GO to <a href="#">Step 3: Determine Your Authority on page 3-15</a></p>   |
|   |                               | Other than logs, lumber, or veneer   | <p>1. VERIFY, by physical inspection, the articles are <b>not</b> logs, lumber, or veneer; then the articles are <b>not</b> regulated by CITES</p> <p>2. EXIT this manual</p> |
| <i>Tetracentron sinense</i><br>(tetracentron)     | Any country                   | All parts and derivatives, including manufactured and finished products <sup>21</sup>  | <p>The articles are <b>CITES Appendix III</b> regulated</p> <p>GO to <a href="#">Step 3: Determine Your Authority on page 3-15</a></p>  |

- 1 Includes building material, cabinetmaking material, charcoal, firewood, flooring, food containers, fuel wood, furniture, joinery, light construction material, matches, particleboard, plywood, pulp/paper products, roof shingles, and veneer.
- 2 Includes construction material, flooring, furniture, joinery, plywood, pulp railroad ties, and vehicle parts.
- 3 Includes railroad ties.
- 4 All wood in the rough whether or **not** stripped of bark or sapwood, or roughly squared for processing, notably into sawn wood, pulpwood, or veneer sheets (HS Code 44.03). See [Appendix E, Harmonized System of World Customs Organization \(HS\) Codes](#).
- 5 Wood simply sawn lengthwise or produced by a profile-chipping process; normally exceeds 6mm in thickness (HS Code 44.06, HS Code 44.07). See [Appendix E](#).
- 6 Thin layers or sheets of wood of uniform thickness, usually 6mm or less, usually peeled or sliced for use in making plywood, for veneering furniture, veneer containers, etc. (HS Code 44.08). See [Appendix E](#).
- 7 Includes bedroom furniture, billiard-cue butts, boat building (general), bobbins, boxes and crates, brush backs and handles, cabinetmaking material, chairs, chests, decorative plywood, musical instruments (especially guitars) and parts of musical instruments (sides and backs) for the manufacturer, and veneer.
- 8 Includes agricultural implements, bearings and bushings, barge and dock fenders, boat construction articles, chemical derivatives, cogs and shafts, cross ties, fishing rods, flooring, furniture, heavy construction and pulp mill equipment, railroad ties, sporting goods, tool handles, turnery, and veneer.
- 9 Includes agricultural implements, boat building materials (general), boat masts, boxes and crates, cabinetmaking materials, carvings, cigar boxes, construction materials, cooperages, flooring, food containers, fuel wood, furniture, furniture components, joinery, mathematical instruments, mine timbers, musical instruments, particleboard, pencils, piling, plywood, poles, pulp/paper products, shakes, shingles, sporting goods, toys, and vats.
- 10 Includes brush backs, building materials, ceilings, counter tops, door frames, dowels, flooring, furniture, joinery, mouldings, nonstriking handles (such as brooms and umbrellas), paneling, picture frames, plywood, pool cues and racks, rulers, shoji screens, stair treads, stringers, tool handles, toys, trays, tripods, turnery, venetian blinds, window blinds, and window frames.
- 11 Includes bearings and bushings, boat building materials (general), brush backs and handles, bush blocks, farm vehicles, furniture, golf club heads, machinery parts, marine construction material, mathematical instruments, naval architecture, pulley sheaves, railroad ties, shade rollers, sporting goods, tables, textile equipment, turnery, and wheels.
- 12 Trade in this species is rare. If you encounter a regulated article made of this species, then contact the Manuals Unit to add the article to this list.

- 13 Includes a variety of uses within the species' natural range. If you encounter a regulated article made of this species, then contact the Manuals Unit to add the article to this list.
- 14 Includes flooring, furniture, posts, and timber. (Wood is noted for its longevity in moist environments.)
- 15 Includes furniture, musical instruments, timber, and veneer.
- 16 Trade in this species is rare. If you encounter a regulated article made of this species, then contact the Manuals Unit to add the article to this list.
- 17 Includes timber.
- 18 Includes timber.
- 19 The Americas include Central America, North America (includes Mexico **only**), and South America.
- 20 Consisting of three or more sheets of wood glued and pressed one on the other and generally disposed so that the grains of successive layers are at an angle (HS Code 44.12.13, HS Code 44.12.14, and HS Code 44.12.22). See [Appendix E](#).
- 21 Trade in this species is rare. If you encounter a regulated article made of this species, then contact the Manuals Unit to add the article to this list.

### Step 3: Determine Your Authority

If you are **not** certain that your port is designated for the re-exportation of CITES regulated timber, then check the following Web site to confirm:

<http://www.aphis.usda.gov/ppq/permits/plantproducts/cites-esa.html>

If you are located at a CITES-designated port, then continue to **Step 4: Determine Which Documents Are Needed**.

If you are **not** located at a CITES-designated port, then you are **not** authorized to certify the CITES re-export shipment. Provide the re-exporter with the option of having the owner or owner's agent arrange to move the shipment to a designated port (at the owner's expense), and give the name and location of the port. Notify the designated port of the pending arrival.



Currently 50CFR §24 lists the log and lumber ports as designated **only** for the **importation** of CITES regulated timber species. The CFR will eventually be amended to include exportation and re-exportation. In the interim, all ports approved for the importation of logs and lumber are also approved for the exportation and re-exportation of CITES regulated timber species.

Continue to **Step 4: Determine Which Documents Are Needed** on page 3-16.

### Step 4: Determine Which Documents Are Needed

To determine which documents are needed for the legal re-exportation of CITES regulated timber, use the appropriate table as follows:

- ◆ CITES Appendix I, see [Table 3-2](#)
- ◆ CITES Appendix II, see [Table 3-3](#)
- ◆ CITES Appendix III, see [Table 3-4](#)



In addition to any CITES re-export documents listed as required in this manual, a Federal Phytosanitary Certificate may also be required. See the *Export Certification Manual* (available at [http://www.aphis.usda.gov/ppq/manuals/pdf\\_files/ECM2ndEd.pdf](http://www.aphis.usda.gov/ppq/manuals/pdf_files/ECM2ndEd.pdf)) and EXCERPT.

### Required Documents for Re-exportation of Appendix I Timber Species

The re-exportation of CITES Appendix I timber species is permitted when presented with appropriate CITES documentation for the following categories of trade:

- ◆ Articles derived from trees cut in the wild for non-commercial use (when presented with a CITES Re-export Certificate and a CITES Import Permit)
- ◆ Articles derived from plantation-grown trees (when presented with a CITES Certificate of Artificial Propagation)
- ◆ Articles acquired prior to the date the Convention listed the species (when presented with a CITES Certificate for Pre-Convention specimens)




Commercial trade in CITES Appendix I species originating from the wild is prohibited.

See [Table 3-2 on page 3-17](#) to determine which documents are required for the re-export of CITES Appendix I regulated timber species.



**TABLE 3-2 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix I Timber Species**

| If the article traded comes from:  | And the country of origin is: | And the permittee is:                          | And the exporter: | Then:                           |
|--|-------------------------------|--|-------------------|---------------------------------|
| <div>  <p><b>Important</b></p> </div> <p>In addition to any CITES re-export documents listed as required in this manual, a Federal Phytosanitary Certificate may also be required. See the <i>Export Certification Manual</i> (available at <a href="http://www.aphis.usda.gov/ppq/manuals/pdf_files/ECM2ndEd.pdf">http://www.aphis.usda.gov/ppq/manuals/pdf_files/ECM2ndEd.pdf</a>) and EXCERPT.</p> <p>A Federal Phytosanitary Certificate for Re-export for CITES Appendix I, Appendix II, or Appendix III Regulated Timber Species can <b>only</b> be issued at a designated port that is authorized to re-export CITES-regulated logs and lumber. Issuance of a Federal Phytosanitary Certificate for Re-export of CITES Appendix I, Appendix II, or Appendix III Protected Timber is contingent upon compliance with all CITES requirements. Issue a Federal Phytosanitary Certificate for Re-export <b>only</b> if all CITES requirements have been satisfied.</p> |                               |  |                   |                                 |
| <ul style="list-style-type: none"> <li>◆ <i>Abies guatemalensis</i> (Guatemalan fir)</li> <li>◆ <i>Araucaria araucana</i> (monkey puzzle tree)</li> <li>◆ <i>Dalbergia nigra</i> (Brazilian rosewood)</li> <li>◆ <i>Fitzroya cupressoides</i> (alerce)</li> <li>◆ <i>Pilgerodendron uviferum</i> (pilgerodendron)</li> <li>◆ <i>Podocarpus parlatorei</i> (Parlatore's podocarp)</li> </ul>  | Any country                   | Engaged in commercial business <sup>1, 2</sup> | →                 | GO to <a href="#">page 3-18</a> |
|  |                               | Not engaged in commercial business             | →                 | GO to <a href="#">page 3-19</a> |

**TABLE 3-2 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix I Timber Species (continued)**

| If the article traded comes from:  | And the country of origin is: | And the permittee is:                          | And the exporter:  | Then:   |
|--|-------------------------------|--|--|---|
| <ul style="list-style-type: none"> <li>◆ <i>Abies guatemalensis</i> (Guatemalan fir)</li> <li>◆ <i>Araucaria araucana</i> (monkey puzzle tree)</li> <li>◆ <i>Dalbergia nigra</i> (Brazilian rosewood)</li> <li>◆ <i>Fitzroya cupressoides</i> (alerce)</li> <li>◆ <i>Pilgerodendron uviferum</i> (<i>pilgerodendron</i>)</li> <li>◆ <i>Podocarpus parlatorei</i> (Parlatore's podocarp)</li> </ul> | Any country                   | Engaged in commercial business <sup>1, 2</sup> | Presents a USDA-issued <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i> , <b>and one</b> of the following USFWS-issued CITES Appendix I re-export documents <sup>3, 4</sup> : <ul style="list-style-type: none"> <li>◆ Re-export Certificate</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> </ul> A phytosanitary certificate may be required to accompany the shipment; see the important advisory at the beginning of this table | GO to <a href="#">Step 5: Collect the Documents Associated with the Shipment</a> on page 3-34   |
|  |                               |  | <b>Lacks</b> the required CITES document   | 1. PLACE the shipment on HOLD<br>2. GO to <a href="#">Violations, Seizures, and Forfeitures</a> on page 4-1                                 |
|  |                               |  | <b>Lacks</b> <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i>  | ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see <a href="#">Application for a Protected Plant Permit</a> on page 3-36) |
|  |                               |  | Has an <b>expired</b> <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i>   |   |
|  |                               | Not engaged in commercial business             | —————→   | GO to <a href="#">page 3-19</a>   |

**TABLE 3-2 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix I Timber Species (continued)**

| If the article traded comes from:   | And the country of origin is: | And the permittee is:              | And the exporter:  | Then:   |
|---|-------------------------------|------------------------------------|--|---|
| <ul style="list-style-type: none"> <li>◆ <i>Abies guatemalensis</i> (Guatemalan fir)</li> <li>◆ <i>Araucaria araucana</i> (monkey puzzle tree)</li> <li>◆ <i>Dalbergia nigra</i> (Brazilian rosewood)</li> <li>◆ <i>Fitzroya cupressoides</i> (alerce)</li> <li>◆ <i>Pilgerodendron uviferum</i> (pilgerodendron)</li> <li>◆ <i>Podocarpus parlatorei</i> (Parlatore's podocarp)</li> </ul> | Any country                   | Not engaged in commercial business | <p>Presents <b>both</b> of the following CITES Appendix I documents:</p> <ul style="list-style-type: none"> <li>◆ USFWS-issued CITES Re-export Certificate<sup>3, 4</sup></li> <li>◆ Import Permit issued by the Management Authority in the country of destination</li> </ul> <p><b>OR</b></p> <p>Presents <b>one</b> of the following USFWS-issued CITES Appendix I re-export documents<sup>3, 4</sup>:</p> <ul style="list-style-type: none"> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> </ul> <p>A phytosanitary certificate may be required to accompany the shipment; see the important advisory at the beginning of this table</p> | GO to <a href="#">Step 5: Collect the Documents Associated with the Shipment</a> on page 3-34   |
|   |                               |                                    | Lacks the required CITES document  | <ol style="list-style-type: none"> <li>1. PLACE the shipment on HOLD</li> <li>2. GO to <a href="#">Violations, Seizures, and Forfeitures</a> on page 4-1</li> </ol> |

- 1 Engaged in commercial business is defined as trade for the purpose of selling, bartering, collecting, or otherwise as a livelihood for gain or profit.
- 2 Commercial trade in CITES Appendix I species originating in the wild is **prohibited**.
- 3 If *Block 5, Special Conditions*, of the USFWS-issued CITES Re-export Certificate so states, then a CBP/PPQ validated copy of the CITES Export Permit or Certificate issued by the Management Authority in the country of origin is required to be attached (to the USFWS-issued CITES Re-export Certificate).
- 4 USFWS-DMA is phasing in the issuance of CITES permits and certificates on security paper. The original **must** accompany the shipment. If the permittee intends to export once, then the permittee will be issued a single original certificate. If the permittee intends to export more than one shipment, then the permittee will be issued multiple originals.


### Required Documents for Re-exportation of Appendix II Timber Species

The re-exportation of CITES Appendix II timber species is permitted when presented with the appropriate CITES documentation for the following categories of trade:

- ◆ Articles derived from trees cut in the wild  
(when presented with a CITES Export Permit or Re-export Certificate)
- ◆ Articles derived from plantation-grown trees  
(when presented with a CITES Certificate of Artificial Propagation)
- ◆ Articles acquired prior to the date the CITES Convention listed the species  
(when presented with a CITES Certificate for Pre-Convention specimens)

See [Table 3-3 on page 3-21](#) to determine which documents are required for the re-exportation of CITES Appendix II regulated timber species.

**TABLE 3-3 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix II Regulated Timber Species**

| If the article traded comes from:  | And the country of origin is: | And the permittee is:                       | And the exporter: | Then:                           |
|--|-------------------------------|---|-------------------|---------------------------------|
| <div>  <p><b>Important</b></p> </div> <p>In addition to any CITES re-export documents listed as required in this manual, a Federal Phytosanitary Certificate may also be required. See the <i>Export Certification Manual</i> (available at <a href="http://www.aphis.usda.gov/ppq/manuals/pdf_files/ECM2ndEd.pdf">http://www.aphis.usda.gov/ppq/manuals/pdf_files/ECM2ndEd.pdf</a>) and EXCERPT.</p> <p>A Federal Phytosanitary Certificate for Re-export for CITES Appendix I, Appendix II, or Appendix III Regulated Timber Species can <b>only</b> be issued at a designated port that is authorized to re-export CITES-regulated logs and lumber. Issuance of a Federal Phytosanitary Certificate for Re-export of CITES Appendix I, Appendix II, or Appendix III Regulated Timber is contingent upon compliance with all CITES requirements. Issue a Federal Phytosanitary Certificate for Re-export <b>only</b> if all CITES requirements have been satisfied.</p> |                               |   |                   |                                 |
| <ul style="list-style-type: none"> <li>◆ <i>Caryocar costaricense</i> (ajillo)</li> <li>◆ <i>Gonystylus</i> spp. (ramin)</li> <li>◆ <i>Guaiaacum</i> spp. (lignum vitae)</li> <li>◆ <i>Oreomunnea pterocarpa</i> (gavilan)</li> <li>◆ <i>Pericopsis elata</i> (afroformosia)</li> <li>◆ <i>Platymiscium pleiostachyum</i> (crístobal, granadillo)</li> <li>◆ <i>Pterocarpus santalinus</i> (red sandalwood, redsanders)</li> <li>◆ <i>Swietenia humilis</i> (Pacific Coast mahogany)</li> </ul>  | Any country                   | Engaged in commercial business <sup>1</sup> | →                 | GO to <a href="#">page 3-22</a> |
|  |                               | Not engaged in commercial business          | →                 | GO to <a href="#">page 3-23</a> |
| <ul style="list-style-type: none"> <li>◆ <i>Swietenia macrophylla</i> (bigleaf mahogany)</li> </ul>  | The Americas <sup>5</sup>     | →   | →                 | GO to <a href="#">page 3-24</a> |
|  | Other than The Americas       | →   | →                 | GO to <a href="#">page 3-25</a> |
| <ul style="list-style-type: none"> <li>◆ <i>Swietenia mahogani</i> (Caribbean mahogany)</li> </ul>   | Any country                   | →   | →                 | GO to <a href="#">page 3-26</a> |


**TABLE 3-3 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix II Regulated Timber Species (continued)**

| If the article traded comes from:  | And the country of origin is: | And the permittee is:                       | And the exporter:  | Then:   |
|--|-------------------------------|---|--|---|
| <ul style="list-style-type: none"> <li>◆ <i>Caryocar costaricense</i> (ajillo)</li> <li>◆ <i>Gonystylus</i> spp. (ramin)</li> <li>◆ <i>Guaiaacum</i> spp. (lignum vitae)</li> <li>◆ <i>Oreomunnea pterocarpa</i> (gavilan)</li> <li>◆ <i>Pericopsis elata</i> (afromosia)</li> <li>◆ <i>Platymiscium pleiostachyum</i> (cristobal, granadillo)</li> <li>◆ <i>Pterocarpus santalinus</i> (red sandalwood, redsanders)</li> <li>◆ <i>Swietenia humilis</i> (Pacific Coast mahogany)</li> </ul> | Any country                   | Engaged in commercial business <sup>1</sup> | <p>Presents a USDA-issued <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i>, <b>and one</b> of the following USFWS-issued CITES Appendix II re-export documents<sup>2, 3</sup>:</p> <ul style="list-style-type: none"> <li>◆ Re-export Certificate</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> </ul> <p>A phytosanitary certificate may be required to accompany the shipment; see the important advisory at the beginning of this table</p> | GO to <a href="#">Step 5: Collect the Documents Associated with the Shipment</a> on page 3-34   |
|  |                               |   | <b>Lacks</b> the required CITES document   | <ol style="list-style-type: none"> <li>1. PLACE the shipment on HOLD</li> <li>2. GO to <a href="#">Violations, Seizures, and Forfeitures</a> on page 4-1</li> </ol> |
|  |                               |   | <b>Lacks</b> <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i>  | ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see <a href="#">Application for a Protected Plant Permit</a> on page 3-36)                         |
|  |                               |   | Has an <b>expired</b> <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i>   |   |
|  |                               | Not engaged in commercial business          |  | GO to <a href="#">page 3-23</a>   |

**TABLE 3-3 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix II Regulated Timber Species (continued)**

| If the article traded comes from:  | And the country of origin is: | And the permittee is:                     | And the exporter:  | Then:  |
|--|-------------------------------|---|--|--|
| <ul style="list-style-type: none"> <li>◆ <i>Caryocar costaricense</i> (ajillo)</li> <li>◆ <i>Gonystylus</i> spp. (ramin)</li> <li>◆ <i>Guaiaacum</i> spp. (lignum vitae)</li> <li>◆ <i>Oreomunnea pterocarpa</i> (gavilan)</li> <li>◆ <i>Pericopsis elata</i> (afroformosia)</li> <li>◆ <i>Platymiscium pleiostachyum</i> (crisobal, granadillo)</li> <li>◆ <i>Pterocarpus santalinus</i> (red sandalwood, redsanders)</li> <li>◆ <i>Swietenia humilis</i> (Pacific Coast mahogany)</li> </ul> | Any country                   | <b>Not</b> engaged in commercial business | <p>Presents <b>one</b> of the following USFWS-issued CITES Appendix II re-export documents <sup>2, 3</sup></p> <ul style="list-style-type: none"> <li>◆ Re-export Certificate</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> </ul> <p>A phytosanitary certificate may be required to accompany the shipment; see the important advisory at the beginning of this table</p> | GO to <b>Step 5: Collect the Documents Associated with the Shipment</b> on page 3-34   |
|  |                               |   | <b>Lacks</b> the required CITES document   | <ol style="list-style-type: none"> <li>1. PLACE the shipment on HOLD</li> <li>2. GO to <b>Violations, Seizures, and Forfeitures</b> on page 4-1</li> </ol> |

**TABLE 3-3 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix II Regulated Timber Species (continued)**

| If the article traded comes from:                                 | And the country of origin is:   | And the permittee is:  | And the exporter:   | Then:  |
|---|---|--|---|--|
| ◆ <i>Swietenia macrophylla</i> <sup>4</sup><br>(bigleaf mahogany) | The Americas <sup>5</sup><br>(includes articles originating in The Americas that were re-exported from another country) | Engaged in commercial business <sup>1</sup>  | Presents a USDA-issued <i>PPQ Form 622, General Permit or Protected Plant Permit</i> , <b>and one</b> of the following USFWS-issued CITES Appendix II re-export documents <sup>2, 3</sup> :   | GO to <a href="#">Step 5: Collect the Documents Associated with the Shipment</a> on page 3-34  |
|   |   |  | ◆ Re-export Certificate<br>◆ Certificate of Artificial Propagation (plantation grown)<br>◆ Pre-Convention Certificate<br><br>A phytosanitary certificate may be required to accompany the shipment; see the important advisory at the beginning of this table |  |
|   |   |  | <b>Lacks</b> the required CITES document  | 1. PLACE the shipment on HOLD<br>2. GO to <a href="#">Violations, Seizures, and Forfeitures</a> on page 4-1                          |
|   |   |  | <b>Lacks</b> <i>PPQ Form 622, General Permit or Protected Plant Permit</i>  | ALLOW the exporter to apply for a Protected Plant Permit (see <a href="#">Application for a Protected Plant Permit</a> on page 3-36) |
|   |   |  | Has an <b>expired</b> <i>PPQ Form 622, General Permit or Protected Plant Permit</i>   |  |
|   | Other than The Americas   | Not engaged in commercial business   | Presents <b>one</b> of the following USFWS-issued CITES Appendix II re-export documents <sup>2, 3</sup> :   | GO to <a href="#">Step 5: Collect the Documents Associated with the Shipment</a> on page 3-34  |
|   |   |  | ◆ Re-export Certificate<br>◆ Certificate of Artificial Propagation (plantation grown)<br>◆ Pre-Convention Certificate<br><br>A phytosanitary certificate may be required to accompany the shipment; see the important advisory at the beginning of this table |  |
|   |   |  | <b>Lacks</b> the required CITES re-export document  | 1. PLACE the shipment on HOLD<br>2. CONTACT a PPQ Regional Botanist for assistance   |
|   | Other than The Americas   |  |   | GO to <a href="#">page 3-25</a>  |



**TABLE 3-3 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix II Regulated Timber Species (continued)**

| If the article traded comes from:                                 | And the country of origin is:        | And the permittee is: | And the exporter:  | Then:   |
|---|--------------------------------------|-----------------------|--|---|
| ◆ <i>Swietenia macrophylla</i> <sup>4</sup><br>(bigleaf mahogany) | Other than The Americas <sup>5</sup> | →                     | <p>Presents <b>either</b> one:</p> <ul style="list-style-type: none"> <li>◆ Generic Certificate of Origin</li> <li>◆ Other conclusive proof of origin</li> </ul> <p>A phytosanitary certificate may be required to accompany the shipment; see the important advisory at the beginning of this table</p> | <ol style="list-style-type: none"> <li>1. REVIEW the shipping documents to verify that the shipment is <b>not</b> from The Americas</li> <li>2. If the article is <b>not</b> from The Americas, then the article is <b>not</b> regulated by CITES</li> <li>3. EXIT this manual</li> </ol> |
|   |                                      |                       | Lacks the required document listed in the cell above ( <b>does not</b> have conclusive proof of origin)  | <ol style="list-style-type: none"> <li>1. PLACE the shipment on HOLD</li> <li>2. CONTACT a PPQ Regional Botanist for assistance</li> </ol>  |

**TABLE 3-3 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix II Regulated Timber Species (continued)**

| If the article traded comes from:                | And the country of origin is: | And the permittee is:                       | And the exporter:   | Then:   |
|--|-------------------------------|---|---|---|
| ◆ <i>Swietenia mahogany</i> (Caribbean mahogany) | Any country                   | Engaged in commercial business <sup>1</sup> | Presents a USDA-issued <i>PPQ Form 622, General Permit or Protected Plant Permit</i> , <b>and one</b> of the following USFWS-issued CITES Appendix II re-export documents <sup>2, 3</sup> : | GO to <a href="#">Step 5: Collect the Documents Associated with the Shipment</a> on page 3-34   |
|  |                               |   | ◆ Re-export Certificate   |   |
|  |                               |   | ◆ Certificate of Artificial Propagation (plantation grown)  |   |
|  |                               |   | ◆ Pre-Convention Certificate  |   |
|  |                               |   | A phytosanitary certificate may be required to accompany the shipment; see the important advisory at the beginning of this table  |   |
|  |                               |   | <b>Lacks</b> the required CITES document  | 1. PLACE the shipment on HOLD<br>2. GO to <a href="#">Violations, Seizures, and Forfeitures</a> on page 4-1                                 |
|  |                               | <b>Not</b> engaged in commercial business   | <b>Lacks</b> <i>PPQ Form 622, General Permit or Protected Plant Permit</i>  | ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see <a href="#">Application for a Protected Plant Permit</a> on page 3-36) |
|  |                               |   | Has an <b>expired</b> <i>PPQ Form 622, General Permit or Protected Plant Permit</i>   |   |
|  |                               |   | Presents <b>one</b> of the following USFWS-issued CITES Appendix II re-export documents <sup>2, 3</sup> :   | GO to <a href="#">Step 5: Collect the Documents Associated with the Shipment</a> on page 3-34   |
|  |                               |   | ◆ Re-export Certificate   |   |
|  |                               |   | ◆ Certificate of Artificial Propagation (plantation grown)  |   |
|  |                               |   | ◆ Pre-Convention Certificate  |   |
|  |                               |   | A phytosanitary certificate may be required to accompany the shipment; see the important advisory at the beginning of this table.   |   |
|  |                               |   | <b>Lacks</b> the required CITES document  | 1. PLACE the shipment on HOLD<br>2. GO to <a href="#">Violations, Seizures, and Forfeitures</a> on page 4-1                                 |

<sup>1</sup> Engaged in commercial business is defined as trade for the purpose of selling, bartering, collecting, or otherwise as a livelihood for gain or profit.

- 2 If *Block 5, Special Conditions*, of the USFWS-issued CITES Certificate so states, then a CBP/PPQ validated copy of the CITES Export Permit or Certificate issued by the Management Authority in the country of origin is required to be attached (to the USFWS-issued CITES Certificate).
- 3 USFWS-DMA is phasing in the issuance of single-use permits and certificates. Single-use certificates are printed on security paper and the original **must** accompany the shipment.
- 4 Listed by the Convention to include the *Swietenia macrophylla* populations of The Americas **only**. *Swietenia macrophylla* trees cut in any country **other than** The Americas are **not** regulated by CITES.
- 5 The Americas includes Central America, North America (includes Mexico **only**), and South America. Includes articles originating in the Americas that were re-exported from another country


**Required  
Documents for  
Re-exportation  
of Appendix III  
Timber Species**

The re-exportation of CITES Appendix III timber species is permitted when presented with the appropriate documentation for the following categories of trade:

- ◆ Articles derived from trees cut in the wild  
(when presented with a USFWS-issued CITES Re-export Certificate)
- ◆ Articles derived from plantation-grown trees  
(when presented with a CITES Certificate of Artificial Propagation)
- ◆ Articles acquired prior to the date the CITES Convention listed the species  
(when presented with a CITES Certificate for Pre-Convention specimens)

See [Table 3-4 on page 3-29](#) to determine which documents are required for the re-exportation of CITES Appendix III timber species.


**TABLE 3-4 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix III Regulated Timber Species**

| If the timber species is:  | And the country of origin is:   | And the permittee is:                       | And the exporter: | Then:                           |
|--|---|---|-------------------|---------------------------------|
| <div>  <p><b>Important</b></p> </div> <p>In addition to any CITES re-export documents listed as required in this manual, a Federal Phytosanitary Certificate may also be required. See the <i>Export Certification Manual</i> (available at <a href="http://www.aphis.usda.gov/ppq/manuals/pdf_files/ECM2ndEd.pdf">http://www.aphis.usda.gov/ppq/manuals/pdf_files/ECM2ndEd.pdf</a>) and EXCERPT.</p> <p>A Federal Phytosanitary Certificate for Re-export for CITES Appendix I, Appendix II, or Appendix III Protected Timber Species can <b>only</b> be issued at a designated port that is authorized to re-export CITES-regulated logs and lumber. Issuance of a Federal Phytosanitary Certificate for Re-export of CITES Appendix I, Appendix II, or Appendix III Protected Timber is contingent upon compliance with all CITES requirements. Issue a Federal Phytosanitary Certificate for Re-export <b>only</b> if all CITES entry requirements have been satisfied.</p> |   |   |                   |                                 |
| <i>Cedrela odorata</i><br>(Spanish cedar)  | Colombia or Peru <sup>1</sup><br>(includes articles originating in Columbia or Peru that were re-exported from another country) | Engaged in commercial business <sup>2</sup> | →                 | GO to <a href="#">page 3-30</a> |
|  |   | Not engaged in commercial business          | →                 | GO to <a href="#">page 3-31</a> |
|  | Other than Columbia or Peru   | →   | →                 | GO to <a href="#">page 3-31</a> |
| ◆ <i>Dipteryx panamensis</i><br>(almendro)   | Any country   | Engaged in commercial business <sup>2</sup> | →                 | GO to <a href="#">page 3-32</a> |
| ◆ <i>Magnolia liliifera</i> var. obovata   |   | Not engaged in commercial business          | →                 | GO to <a href="#">page 3-32</a> |
| ◆ <i>Podocarpus neriifolius</i><br>(podocarp)  |   |   |                   |                                 |
| ◆ <i>Tetracentron sinense</i><br>(Tetracentron)  |   |   |                   |                                 |

**TABLE 3-4 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix III Regulated Timber Species (continued)**

| If the timber species is:                 | And the country of origin is:   | And the permittee is:                       | And the exporter:   | Then:   |
|---|---|---|---|---|
| <i>Cedrela odorata</i><br>(Spanish cedar) | Colombia or Peru <sup>1</sup><br>(includes articles originating in Columbia or Peru that were re-exported from another country) | Engaged in commercial business <sup>2</sup> | Presents a USDA-issued <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i> , and one of the following USFWS-issued CITES Appendix III re-export documents <sup>3, 4</sup> :<br><br>◆ Re-export Certificate<br>◆ Certificate of Artificial Propagation (plantation grown)<br>◆ Pre-Convention Certificate<br><br>A phytosanitary certificate may be required to accompany the shipment; see the important advisory at the beginning of this table | GO to <a href="#">Step 5: Collect the Documents Associated with the Shipment</a> on page 3-34   |
|   |   |   | <b>Lacks</b> the required CITES document  | 1. PLACE the shipment on HOLD<br>2. GO to <a href="#">Violations, Seizures, and Forfeitures</a> on page 4-1                                 |
|   |   |   | <b>Lacks</b> <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i>   | ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see <a href="#">Application for a Protected Plant Permit</a> on page 3-36) |
|   |   |   | Has an <b>expired</b> <i>PPQ Form 622, General Permit</i> or <i>Protected Plant Permit</i>  |   |
|   | Other than Columbia or Peru   | Not engaged in commercial business          | —————→  | GO to <a href="#">page 3-31</a>   |
|   |   | —————→                                      | —————→  | GO to <a href="#">page 3-31</a>   |

**TABLE 3-4 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix III Regulated Timber Species (continued)**

| If the timber species is:                 | And the country of origin is:   | And the permittee is:   | And the exporter:   | Then:   |
|---|---|---|---|---|
| <i>Cedrela odorata</i><br>(Spanish cedar) | Colombia or Peru <sup>1</sup><br>(includes articles originating in Columbia or Peru that were re-exported from another country) | <b>Not</b> engaged in commercial business   | Presents <b>one</b> of the following USFWS-issued CITES Appendix III re-export documents <sup>3, 4</sup> :<br><br>◆ Re-export Certificate<br>◆ Certificate of Artificial Propagation (plantation grown)<br>◆ Pre-Convention Certificate<br><br>A phytosanitary certificate may be required to accompany the shipment; see the important advisory at the beginning of this table | GO to <b>Step 5: Collect the Documents Associated with the Shipment</b> on page 3-34  |
|   |   |   | <b>Lacks</b> the required CITES document  | 1. PLACE the shipment on HOLD<br>2. GO to <b>Violations, Seizures, and Forfeitures</b> on page 4-1  |
|   | <b>Other than</b> Colombia or Peru  |  | Presents <b>either</b> one:<br><br>◆ Generic Certificate of Origin<br>◆ Other conclusive proof of origin<br><br>A phytosanitary certificate may be required to accompany the shipment; see the important advisory at the beginning of this table  | 1. REVIEW the shipping documents to verify the article is <b>not</b> from Columbia or Peru <sup>5</sup><br>2. If the shipment is <b>not</b> from Columbia or Peru, then the article is <b>not</b> regulated by CITES<br>3. EXIT this manual |
|   |   |   | <b>Lacks</b> the conclusive proof of origin   | 1. PLACE the shipment on HOLD<br>2. CONTACT a PPO Regional Botanist for action  |

**TABLE 3-4 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix III Regulated Timber Species (continued)**

| If the timber species is:   | And the country of origin is: | And the permittee is:                       | And the exporter:  | Then:   |
|---|-------------------------------|---|--|---|
| <ul style="list-style-type: none"> <li>◆ <i>Dipteryx panamensis</i> (almendro)</li> <li>◆ <i>Magnolia liliifera</i> var. obovata</li> <li>◆ <i>Podocarpus neriifolius</i> (podocarp)</li> <li>◆ <i>Tetracentron sinense</i> (Tetracentron)</li> </ul> | Any country                   | Engaged in commercial business <sup>2</sup> | Presents a USDA-issued <i>PPQ Form 622, General Permit or Protected Plant Permit</i> , and one of the following USFWS-issued CITES Appendix III re-export documents <sup>3, 4</sup> :  | GO to <a href="#">Step 5: Collect the Documents Associated with the Shipment</a> on page 3-34   |
|   |                               |   | <ul style="list-style-type: none"> <li>◆ Re-export Certificate</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> </ul> A phytosanitary certificate may be required to accompany the shipment; see the important advisory at the beginning of this table |   |
|   |                               |   | Lacks the required CITES document  | 1. PLACE the shipment on HOLD<br>2. GO to <a href="#">Violations, Seizures, and Forfeitures</a> on page 4-1                                 |
|   |                               |   | Lacks <i>PPQ Form 622, General Permit or Protected Plant Permit</i>  | ALLOW the exporter to apply for a <i>Protected Plant Permit</i> (see <a href="#">Application for a Protected Plant Permit</a> on page 3-36) |
|   |                               |   | Has an <b>expired</b> <i>PPQ Form 622, General Permit or Protected Plant Permit</i>  |   |
|   |                               | Not engaged in commercial business          | Presents <b>one</b> of the following USFWS-issued CITES Appendix III re-export documents <sup>3, 4</sup> :   | GO to <a href="#">Step 5: Collect the Documents Associated with the Shipment</a> on page 3-34   |
|   |                               |   | <ul style="list-style-type: none"> <li>◆ Re-export Certificate</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> </ul> A phytosanitary certificate may be required to accompany the shipment; see the important advisory at the beginning of this table |   |
|   |                               |   | Lacks the required CITES document  | 1. PLACE the shipment on HOLD<br>2. GO to <a href="#">Violations, Seizures, and Forfeitures</a> on page 4-1                                 |



- 1 Listed on CITES Appendix III by Colombia for *Cedrela odorata* populations of Colombia **only**, and by Peru for *Cedrela odorata* populations of Peru **only**. *Cedrela odorata* trees cut in any country other than Colombia or Peru are **not** regulated by CITES.
- 2 Engaged in commercial business is defined as trade for the purpose of selling, bartering, collecting, or otherwise as a livelihood for gain or profit.
- 3 If *Block 5, Special Conditions*, of the USFWS-issued CITES Certificate so states, then a CBP/PPQ validated copy of the CITES Export Permit or Certificate issued by the Management Authority in the country of origin is required to be attached (to the USFWS-issued CITES Certificate).
- 4 USFWS-DMA is phasing in the issuance of CITES permits and certificates printed on security paper. The original **must** accompany the shipment.
- 5 A USFWS-issued CITES Re-export Certificate is **not** required if the article does **not** originate from Columbia or Peru.

### Step 5: Collect the Documents Associated with the Shipment

Check to see if *Block 5, Special Conditions*, of the USFWS-issued CITES Re-export Certificate or Other Certificate requires that the permittee attach a copy of the CITES Export Permit or Certificate issued by the Management Authority in the country of origin.

If so, then as part of the re-export validation process, you **must** verify that the CITES Appendix I, Appendix II, or Appendix III regulated timber or articles were originally legally imported into the U.S. The permittee **must** provide you with a legible copy of a valid foreign CITES Export Permit or Certificate that was previously endorsed (stamped, released, signed, and dated by a PPQ Plant Health Safeguarding Specialist or PPQ Export Certification Specialist) at the CITES-designated port where the shipment was originally imported.



European Union (EU)<sup>1</sup> countries require an **original** USFWS-issued CITES Re-export Certificate printed on security paper **must** accompany the shipment. Since multi-use certificates or permits are **not** accepted by the EU, **never** validate them for shipments to EU countries.

<sup>1</sup> As of May 1, 2004, EU countries include Austria, Belgium, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, The Netherlands, Poland, Portugal, Slovakia, Slovenia, Spain, Sweden, and United Kingdom.



In addition to any CITES re-export documents listed as required in this manual, a Federal Phytosanitary Certificate may also be required. See the *Export Certification Manual* (available at [http://www.aphis.usda.gov/ppq/manuals/pdf\\_files/ECM2ndEd.pdf](http://www.aphis.usda.gov/ppq/manuals/pdf_files/ECM2ndEd.pdf)) and EXCERPT.

A Federal Phytosanitary Certificate for Re-export for CITES Appendix I, Appendix II, or Appendix III Regulated Timber Species can **only** be issued at a designated port that is authorized to re-export CITES-regulated logs and lumber. Issuance of a Federal Phytosanitary Certificate for Re-export of CITES Appendix I, Appendix II, or Appendix III Regulated Timber is contingent upon compliance with all CITES requirements. Issue a Federal Phytosanitary Certificate for Re-export **only** if all CITES requirements have been satisfied.

Collect the following valid documents associated with the shipment:

- ◆ CITES Re-export Certificate or CITES Other Certificate (FWS Form 3-201A) issued by U.S. Fish & Wildlife Service-Division of Management Authority (USFWS-DMA)
- ◆ If the condition in *Block 5, Special Conditions*, of the USFWS-issued CITES Certificate so states, then the permittee **must** provide you with a legible copy of a valid foreign CITES Export Permit or Certificate that was previously endorsed (stamped, released, signed, and dated by a PPQ Plant Health Safeguarding Specialist or PPQ Export Certification Specialist) at the CITES-designated port where the shipment was originally imported

- ◆ If the re-exporter is engaged in a commercial business, a copy of the USDA-issued *PPQ Form 622, General Permit* or *Protected Plant Permit*, for the re-exporter to engage in the commercial trade of CITES listed plants (see ***PPQ Form 622, General Permit*** on page A-14 or ***PPQ Form 622, Protected Plant Permit*** on page A-16). If the re-exporter **does not** have a permit, you may allow the re-exporter to apply for one (see ***Step 6: Ensure the Documents Have Not Expired*** on page 3-36; and follow the directions for allowing the re-exporter to apply for a new *Protected Plant Permit*)
- ◆ Cargo paperwork associated with the shipment (such as bill of lading, air waybill, invoice, and dimensional specification sheets<sup>1</sup>)

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<sup>1</sup> Dimensional specification sheets (or dimensional tally inventory sheets) are used for articles that are imported in quantities expressed in cubic meters, square meters, or board feet, and inventory the size of each piece of lumber or veneer in each bundle shipped. Usually there will be more than one dimensional inventory sheet with each shipment.

### Step 6: Ensure the Documents Have Not Expired

To verify that the documents have **not** expired, check the bottom left-hand corner of the USDA-issued *PPQ Form 622, General Permit or Protected Plant Permit*, and *Block 2* of the CITES Re-export Certificate or Other Certificate.

#### Application for a Protected Plant Permit

A new application is required for both first-time applicants and upon expiration of the currently-held *General Permit* or *Protected Plant Permit*. Use the following procedures for having the exporter apply for the USDA-issued *PPQ Form 622, Protected Plant Permit*:

1. Call the Permit Unit at either 877/770-5990 (toll free number), or 301/734-8332. If using the toll free number, press '3' to reach the Plants Desk and ask for a *Protected Plant Permit* number.
2. Write the *Protected Plant Permit* number at the top of the application, *PPQ Form 621, Application for Protected Plant Permit to Engage in the Business of Importing Exporting, or Re-exporting Terrestrial Plants*.
3. Have the exporter complete the application. Collect a check from the importer for \$70, made payable to "Plant Protection and Quarantine".
4. Mail the completed PPQ Form 621 along with the check to the following address:

USDA-APHIS-PPQ  
PPQ Permit Unit  
4700 River Road, Unit 136  
Riverdale, MD 20737-1236

#### Renewal of an Expired CITES Re-export Certificate

If the CITES Re-export Certificate has expired, then stop processing the re-export. Have the permittee contact the U.S. Fish & Wildlife Service, Division of Management Authority, 4401 North Fairfax Drive, Room 700, Arlington, VA 22203, to have the permittee's CITES Re-export Certificate or Other Certificate reissued.

### Step 7: Confirm the Legal Importation

If the CITES Re-export Certificate, *Block 5, Special Conditions*, requires the permittee to attach a copy of the CITES Export Permit or Certificate from the country of origin (where the article originated) or the country of last re-export, then confirm that the copy is attached.

To verify that the timber or articles legally entered, ensure that the copy presented to you is valid (compare and match the copy with the example from the country of origin or the country of last re-export shown in **CITES Documents** on page D-1).

If there is **no** example of the foreign CITES document present, then see the following Web site [http://www.cites.org/common/directy/e\\_directy.html](http://www.cites.org/common/directy/e_directy.html). Compare the name and address of the Management Authority of the foreign CITES document with the official offices and addresses of management authorities at this Web site.

Then verify that the CITES Export Permit or Export Certificate was previously inspected and stamped “RELEASED” by a CPB Agriculture Specialist, a PPQ Plant Health Safeguarding Specialist, or a PPQ Export Certification Specialist. If you are given a copy of an **invalid** document, then **stop** processing the re-export and inform the permittee of the correct document requirements.

If the copy of the CITES Export Permit presented to you is illegible or was **not** previously endorsed by the CPB Agriculture Specialist, PPQ Plant Health Safeguarding Specialist, or PPQ Export Certification Specialist, then contact CBP personnel at the port where the timber logs, lumber, or article originally entered to determine if the material was legally imported.

After a CBP Agriculture Specialist at the port of entry confirms that the material was legally imported, then have the CBP Agriculture Specialist endorse the CITES Export Permit and forward a copy to your office.

If you learn that the original importation was **illegal**, then the shipment may be subject to forfeiture. Contact a PPQ Regional Botanist (CBP contact a PPQ Regional Botanist through proper channels) for assistance.

## Step 8: Confirm the CITES Re-export Certificate Is Accurate and Complete

See **CITES Documents** on page D-1 for examples of USFWS-issued CITES documents for re-export. Use **Table 3-5** to check the designated blocks of the CITES Re-export Certificate to ensure that the certificate is accurate and complete.



**Do not** accept a CITES Re-export Certificate that is altered, modified, or crossed-out unless the modification or crossing out has been authenticated by the stamp and signature of the authority issuing the document.

If you are presented with an altered or questionable CITES Re-export Certificate, then place the shipment on HOLD and contact your PPQ Regional Botanist (CBP contact a PPQ Regional Botanist through proper channels) for assistance.

**TABLE 3-5 Verify that the CITES Re-export Certificate Is Accurate and Complete**



| Block   | Information entered by   | Instructions  |
|---|--|---|
| <div>  <p><b>Important</b></p> </div> <div> <p>Single-use USFWS-issued CITES Re-export certificates are valid for six months.</p> <p>Multi-use USFWS-issued CITES Re-export certificates are generally valid for two years.</p> </div> |  |   |
| 2   | Expiration Date  | Division of Management Authority (DMA)<br>VERIFY the certificate has <b>not</b> expired   |
| 3   | Name and Address of Permittee                                      | DMA<br>VERIFY the name and address listed on the permit match the information on the accompanying shipping document   |
| 4   | Name and Address of Consignee                                      | Permittee or DMA<br>VERIFY the consignee's name and address matches the information listed on the accompanying shipping document  |
| 5   | Special Conditions   | DMA<br><ol style="list-style-type: none"> <li>1. ORIENT yourself to any special conditions with which the permittee <b>must</b> comply to properly use this document</li> <li>2. If this block directs the permittee to complete specific portions of the certificate, then you <b>must</b> VERIFY the blocks are complete and correct (see example below)</li> <li>3. If this block instructs the permittee to attach a copy of the CITES document used to import the article into the U.S., then FOLLOW the guidelines in <a href="#">Step 7: Confirm the Legal Importation</a></li> </ol> <div> <p><b>EXAMPLE</b></p> <p>The quantity in <i>Block 11</i> <b>must</b> be reported in cubic meters.</p> </div> |
| 6   | U.S. Management Authority  | DMA<br><ol style="list-style-type: none"> <li>1. CONFIRM the U.S. Management Authority address reads:<br/>Division of Management Authority<br/>U.S. Fish and Wildlife<br/>Department of the Interior<br/>Washington, DC 20240<br/>USA</li> <li>2. COMPARE the issuance date in this block (6) to the expiration date in <i>Block 2</i> (a single-use USFWS-issued CITES certificate is valid for 6 months; a multi-use USFWS-issued CITES certificate is usually valid for 2 years)</li> </ol>  |
| 7   | Scientific name (genus and species)                                | DMA<br>VERIFY by review of the shipping documents (and later by inspection of the commodity), the scientific name recorded matches what is being re-exported  |
| 9   | Description of the part or derivative, including identifying marks | DMA<br>VERIFY by review of the shipping documents (and later by inspection of the commodity), the description and identifying marks match what is being recorded  |
| 10  | Appendix Number  | DMA<br>VERIFY the CITES Appendix number (of the species being re-exported) listed and found in <a href="#">Table 3-1</a> agrees with the Appendix number listed on the CITES document   |

TABLE 3-5 Verify that the CITES Re-export Certificate Is Accurate and Complete (continued)

| Block |                                  | Information entered by | Instructions   |
|-------|----------------------------------|------------------------|--|
| 11    | Quantity (including unit)        | Permittee or DMA       | <p>1. VERIFY the quantity listed agrees with the quantity declared on the invoice and cargo papers accompanying the shipping documents</p> <p>2. If <i>Block 5, Special Conditions</i>, directs the permittee to use a specific unit of quantity, or if <i>Block 9, Description of Specimens</i>, denotes the unit of quantity in the description of the commodity, then VERIFY that the specified unit of quantity is also in this block (11)</p> <p>3. If the accompanying paperwork declares quantities <b>other than</b> directed, then see <a href="#">Appendix C, Conversion Formulas</a></p> <p>4. If the instructions in <i>Block 5</i> direct the permittee to attach a copy of the CITES document used to import the commodity, then COMPARE the quantity listed in this block with the quantity listed on the attached foreign CITES document</p> <div style="display: flex; align-items: center;">  <div style="margin-left: 10px;"> <p><b>Important</b></p> <p>The quantity listed in <i>Block 11</i> <b>must not</b> exceed the quantity listed on the attached foreign CITES document. If this occurs, then STOP processing the shipment.</p> </div> </div> <p>5. If the quantity listed in this block exceeds the quantity listed on the attached foreign CITES document, then STOP processing the shipment and give the permittee the opportunity to remove excess material and amend his/her paperwork or present you with an amended CITES Re-export Certificate<sup>1</sup></p> |
| 12    | Country of Origin and Permit No. | Permittee or DMA       | <p>If <i>Block 5, Special Conditions</i>, requires a copy of the foreign CITES import document be attached, then VERIFY the country of origin, the permit or certificate number, and the date of issuance on the attached document coincides with the information recorded in this block</p>   |

1 To amend a CITES Certificate, the quantity listed in *Block 11* **must** be changed in the following manner:

- ◆ If the document is printed on security paper (and, therefore, **cannot** be photocopied), then the permittee **must** present a new original with the correct quantity; **do not** accept alterations or modifications
- ◆ If the document is a multi-use certificate, then the permittee can use photocopies. The permittee **must** present a new copy of the certificate with the correct quantity listed; **do not** accept a document that has alterations or modifications

**If a CITES Re-export Certificate is presented to you with incomplete or inaccurate information or the document has expired, then STOP processing the re-exportation. Place the shipment on HOLD and contact your PPQ Regional Botanist (CBP contact a PPQ Regional Botanist through proper channels) for assistance.**

**If the CITES document is acceptable, then continue to [Step 9: Inspect the Shipment](#).**



## Step 9: Inspect the Shipment

Inspect the shipment to assess the actual quantity of material being re-exported. You may have to overcome the following difficulties in assessing the volume of material being shipped:

- ◆ Accessibility of containerized cargo
- ◆ Enormity of the shipment
- ◆ Identity of the pallets comprising the shipment
- ◆ Bundles of lumber consisting of boards of various sizes

When the size of commercial shipments makes impossible the inspection of the entire consignment to assess its quantity, then review the invoice, packing list, or dimensional specification sheets accompanying the consignment and determine the quantity of a representative unit (such as box, bundle, carton, etc.), for the shipment. Continue to [Table 3-6](#) below.

**TABLE 3-6 Determine the Quantity of a Representative Unit for Inspection**

| If:   | Then:   |
|---|---|
| Quantity recorded on the USFWS-issued CITES document is by weight   | VERIFY that the weight of the unit you chose to inspect matches the unit's weight as listed on the invoice or packing list  |
| Quantity recorded on the USFWS-issued CITES document is by number of pieces   | VERIFY that the number of pieces in the unit you chose to inspect matches the unit's number of pieces as listed on the invoice or packing list  |
| Quantity recorded on the USFWS-issued CITES document is in cubic meters, square meters, or board feet   | CONDUCT a dimensional piece count <sup>1</sup> to VERIFY the quantity of the unit you chose to inspect matches the quantity listed for that unit on the invoice, packing list, or dimensional specification sheet |
| Quantity as found by your physical inspection of a representative sample <b>does not</b> match the quantity listed on the invoice, packing list, or dimensional specification sheet | <ol style="list-style-type: none"> <li>1. SELECT another representative sample to inspect</li> <li>2. REPEAT the procedures listed above to determine the extent of the overage</li> </ol>                        |

<sup>1</sup> To perform a dimensional piece count, you **must** measure each piece in the inspectional unit either by length and width; or by length, width, and height (thickness); and then multiply the subtotal by the number of pieces in the unit to calculate the total quantity of the unit. See [Appendix C, Conversion Formulas](#) for assistance.

Continue to [Table 3-7](#) to determine the action to take based on your inspection.

**TABLE 3-7 Determine the Action Based on the Inspection Results**

| If your inspection confirms:  | Then:   |
|---|---|
| Exporter or re-exporter deliberately attempted to mislead you or concealed unauthorized articles    | In addition to seizure and forfeiture of the shipment, the importer may be subject to civil or criminal penalties. COMPLETE <a href="#">PPQ Form 518, Report of Violation</a> (see <a href="#">Appendix A</a> for instructions) to document the violation and CONTACT a PPQ Regional Botanist (CBP contact a PPQ Regional Botanist through proper channels) to report the violation |
| Quantity is equal to or less than the quantity listed on the USFWS-issued CITES Certificate         | CONTINUE to <a href="#">Step 10: Validate the CITES Documents With Stamp and Endorsement</a>  |
| Quantity in excess of the quantity listed on the USFWS-issued CITES Certificate                     | Shipment is in violation of CITES Regulations and is subject to seizure and forfeiture. SEE <a href="#">Violations, Seizures, and Forfeitures</a> , for forfeiture procedures and CONTACT a PPQ Regional Botanist (CBP contact a PPQ Regional Botanist through proper channels) for assistance with forfeiture procedures   |
| Unauthorized articles (CITES regulated articles that are <b>not</b> recorded on the CITES document) |   |

## Step 10: Validate the CITES Documents With Stamp and Endorsement

The CITES Re-export Certificate **is not** valid until a PPQ Plant Health Safeguarding Specialist or PPQ Export Certification Specialist completes *Blocks 13, 14, and 15* of this form. If the shipment complies with the USFWS-issued CITES Re-export Certificate and the procedures listed in *Steps 1* through *9* of this chapter, then endorse the **original** CITES document. Use your “USDA-APHIS-PPQ Inspected and Released” or “USDA-APHIS-PPQ Released” stamp. The stamp **must** bear your port location. **Sign** your name in ink, and write your badge number and the date. Validate by stamping and endorsing the re-export certificate blocks as shown in [Table 3-8](#).

**TABLE 3-8** Instructions for Validation and Endorsement of CITES Re-export Certificate

| Block | Completed by   | Instructions  |
|-------|--|---|
| 13    | Export/Re-export Endorsement                           | PPQ Plant Health Safeguarding Specialist or PPQ Export Certification Specialist |
| 14    | Bill of Lading/<br>Air Waybill Number                  | PPQ Plant Health Safeguarding Specialist or PPQ Export Certification Specialist |
|       | Port of Exportation/<br>Re-exportation                 |   |
|       | Total No. of<br>Shipping Containers                    |   |
| 15    | Inspecting Official's<br>Stamp, Signature,<br>and Date | PPQ Plant Health Safeguarding Specialist or PPQ Export Certification Specialist |

### Step 11: Distribute the CITES Documents

When *Block 5, Special Conditions*, states the permittee **must** attach a copy of the foreign CITES Export Permit or Certificate, then distribute as follows:

1. Send the validated **original** USFWS-issued CITES Certificate with a copy of the foreign CITES Export Permit or Certificate attached, to the permittee with the following instructions:
  - A. Permittee is to forward the documents with the shipment (documents must accompany shipment).
  - B. Permittee may make and keep a photocopy of the documents.
2. Send a **copy** of the validated original USFWS-issued CITES Certificate with a copy of the foreign CITES Export Permit or Certificate attached, to the following office:

U.S. Fish and Wildlife Service  
Division of Management Authority  
4401 North Fairfax Drive, Room 700  
Arlington, VA 22203

3. Keep a **copy** of the validated original USFWS-issued CITES Certificate with a copy of the foreign CITES Export Permit or Certificate attached, in the port file.



CITES files **must** be retained for five years. See [Filing System](#) on page 2-2 for directions on how to set up and maintain files.

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## Transportation and Exportation (T&E) of CITES Appendix I, Appendix II, Appendix III Regulated Timber Species

### Canada or Mexico

Follow the steps listed below when releasing the shipment for transportation and exportation (T&E) of CITES Appendix I, Appendix II, or Appendix III regulated timber species to Canada or Mexico:

1. Verify that the shipment is accompanied by CBP Form 7512 or other accepted in-bond document.
2. Stamp the CBP paperwork, "Released for Exportation."  
**Do not** stamp the CITES document; this will be done by the Canadian or Mexican authorities.
3. Apply any necessary safeguards.
4. Allow the shipment to proceed.



If the CBP paperwork designates both a U.S. Company (middle man) and a Canadian or Mexican consignee, then review the CITES document to verify that the consignee is actually Canadian or Mexican and **not** U.S. If the CITES document declares a U.S. company as the consignee, then the T&E **must** be handled as a CITES re-export.

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## Immediate Exportation (IE) of CITES Appendix I, Appendix II, Appendix III Regulated Timber Species

Follow these steps for the immediate exportation (IE) of CITES Appendix I, Appendix II, and Appendix III regulated timber species:

1. Verify the shipment is accompanied by CBP Form 7512 or other accepted export document.
2. Stamp the CBP paperwork, "Released for Exportation."  
**Do not** stamp the CITES document; this will be done by the authorities at the country of destination.
3. Apply any necessary safeguards.
4. Allow the shipment to proceed.



# 4

CITES I-II-III Timber  
Species Manual

# Violations, Seizures, and Forfeitures

## *Procedures*

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### Introduction

This chapter provides the procedures for processing violations of CITES Appendix I, Appendix II, and Appendix III protected timber species, and for seizure and forfeiture of CITES regulated timber species (including articles made from protected timber).

## Procedures

The procedures which follow have been established to report violations and initiate seizure and forfeiture for regulated plants, including their parts and derivatives when offered for or traded in contravention CITES.

## Violations of USDA Regulations

Violations of USDA species regulations concerning CITES plants (7CFR 355) will generally result in the issuance of *PPQ Form 518, Report of Violation*.

Repeat violations of 7CFR 355 may result in seizure and forfeiture of CITES regulated material. To determine if seizure and forfeiture is warranted, verify that the violator is a repeat offender and contact the PPQ CITES Specialist<sup>1</sup> in your region for advice. CBP Agriculture Specialists (CBP-AS) **must** go through proper channels.

**EXAMPLE**

If a violator's *General Permit* or *Protected Plant Permit* is revoked and the violator attempts to import, export, or re-export CITES regulated material, then seizure and forfeiture is warranted.

### Step 1: Determine if a Violation of USDA Regulations Concerning CITES Regulated Plants Exists

A violation of the USDA regulations concerning CITES regulated plants exists when a party (importer, exporter, or re-exporter) commits one or more of the following:

- ◆ Engages in commercial business as an importer, exporter, or re-exporter **without** *PPQ Form 622, General Permit or Protected Plant Permit*, issued by the USDA
- ◆ Fails to notify CBP or PPQ promptly upon the arrival or prior to the export or re-export of regulated material, by such means as a manifest, Customs' (CBP) entry, invoice, or waybill, with the genus and species of the regulated material listed
- ◆ Fails to provide the genus and species of regulated material by such means as a tag, invoice, or packing list, or identification on the shipping container
- ◆ Fails (for any person engaged in business as an importer, exporter, or re-exporter) to maintain records for the trade of regulated material for a period of five years

<sup>1</sup> Regional CITES Specialists are John Arcery (for PPQ Eastern Region), e-mail [john.n.arcery@aphis.usda.gov](mailto:john.n.arcery@aphis.usda.gov); and Timothy Torbett (for PPQ Western Region), e-mail [timothy.j.torbett@aphis.usda.gov](mailto:timothy.j.torbett@aphis.usda.gov).



- ◆ Fails or denies (for any person engaged in business as an importer, exporter, or re-exporter) to provide CBP or PPQ access to examine such records or inventory of regulated material
- ◆ Moves regulated material from the Customs' (CBP) area (pertaining to imports) or from the designed port (pertaining to exports or re-exports) **without** submitting the original CITES document to CBP or PPQ for validation

If there are other violations in addition to those listed above, then continue to ***Violations of CITES Regulations***.

### Step 2: Complete PPQ Form 518, Notice of Violation

See ***PPQ Form 518, Report of Violation*** on page A-7 for an example, and ***page A-8*** for directions on completing the form. If the PPQ Form 518 is available on-line, then complete the form electronically as appropriate.

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## Violations of CITES Regulations

Violations of CITES regulations (50CFR 23, 24 and 16 USC 1538) for plants (including their parts or derivatives) listed by the Convention will generally result in both a report of violation (*PPQ form 518, Report of Violation*), and seizure and forfeiture of the illegally-traded material.

### Step 1: Confirm a Violation of CITES Exists and Warrants Seizure and Forfeiture

A violation of CITES regulations exists when a party (importer, exporter, or re-exporter) does one or more of the following:

- ◆ Imports<sup>2</sup>, exports<sup>3</sup>, re-exports<sup>4</sup>, or possesses plants listed in CITES Appendix I, Appendix II, or Appendix III, with invalid CITES documentation or **without** a CITES document
- ◆ Imports, exports, or re-exports regulated plants in quantities that exceed the quantity recorded on the CITES permit or certificate
- ◆ Imports, exports, or re-exports regulated plants into or out of a port that has **not** been designated for the movement of such plants

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2 (Importer, importing, importation) to land on, bring into, introduce into, or attempt to land on, bring into, or introduce into any place subject to the jurisdiction of the United States.

3 (Exporter, exporting, exportation) to carry, send, take, transport, or otherwise remove, or attempt to carry, send, take, transport or otherwise remove from any place subject to the jurisdiction of the United States.

4 (Re-exporter, re-exporting, re-exportation) to export following importation.

To confirm that a violation exists and warrants forfeiture and seizure of the timber or articles, see [Table 4-1](#) on page 4-4.

TABLE 4-1 Confirm the Violation Warrants Seizure and Forfeiture

| If you have:  | And the:   | And you determine:  | Then:   |
|---|--|---|---|
| Attempt to import into the United States with an invalid CITES document or <b>without</b> a CITES document                    |                    |   | 1. CONTINUE processing the violation and complete <i>PPQ Form 518, Notice of Violation</i> ; seizure and forfeiture is warranted  |
| Attempt to export or re-export from the United States with an invalid CITES document or <b>without</b> a valid CITES document |                     | Person is knowledgeable <sup>1</sup>  | 2. GO to <a href="#">Step 2: Seize the Regulated Timber or Articles</a>   |
|   | Re-exporter presents regulated articles to you for the purpose of inquiring about CITES <sup>2</sup> | There is <b>no</b> deliberate attempt to defraud or violate the regulations | PROVIDE the person with the required information to obtain the necessary CITES documents; seizure and forfeiture is <b>not</b> warranted  |
| Attempt to import, export, or re-export regulated material through a non-designated port                                      |                     | Person is knowledgeable <sup>1</sup>  | 1. CONTINUE processing the violation and complete <i>PPQ Form 518, Notice of Violation</i> ; seizure and forfeiture is warranted<br>2. GO to <a href="#">Step 2: Seize the Regulated Timber or Articles</a> |
|   | Person is unaware of the designated port requirement <sup>3</sup>                                    | There is <b>no</b> obvious attempt to defraud or violate the regulations    | PROVIDE the person with the required information and allow to arrange to have the shipment rerouted to a designated port at the owner's expense   |
| Evidence that a permit, certificate, or other official document was altered or forged to gain advantage                       |                  |   | 1. CONTINUE processing the violation and complete <i>PPQ Form 518, Notice of Violation</i> ; seizure and forfeiture is warranted  |
| Quantities in excess of the quantity recorded on the CITES document   |                  |   | 2. GO to <a href="#">Step 2: Seize the Regulated Timber or Articles</a>   |
| Unauthorized regulated material (CITES regulated articles that are <b>not</b> recorded on the CITES document)                 |                  |   |   |
| Violation <b>other than</b> listed in the cells above   |                  |   | 1. STOP processing the violation<br>2. CONTACT a PPQ Regional Botanist through proper channels  |

- 1 Consider a person knowledgeable if any of the following apply: the person was given prior information regarding CITES regulations; is a *Protected Plant Permit* or *General Permit (GP)* holder; deliberately attempted to conceal CITES-regulated material; or is a repeat violator.
- 2 The lack of a CITES document by a re-exporter may be due, in part to a lack of knowledge about the regulations.
- 3 An attempt to import or re-export through a non-designated port may be due, in part to the person's lack of knowledge about the regulations.

## Step 2: Seize the Regulated Timber or Articles

If you have **not** already done so, then seize the material moving in violation of CITES regulations by placing the material on HOLD. Notify all parties involved that the seized material is **not** to be moved **without** CBP's or PPQ's permission. Continue to **Step 3: Estimate the Retail Value of the Timber or Articles Moving in Violation of the Legislation**.

## Step 3: Estimate the Retail Value of the Timber or Articles Moving in Violation of the Legislation

If the same wood or article as the seized property is sold in the United States, then use the price asked by the nearest retailer to estimate the value. If the same wood or article as the seized property is **not** sold in the United States or if impractical to contact a retailer, then use the material's invoiced value. Continue to **Step 4: Start the Forfeiture Procedures**.

## Step 4: Start the Forfeiture Procedures

The forfeiture procedures will allow you to gain legal custody of the article seized and to facilitate prosecution by CBP, PPQ, or USFWS-Division of Management Authority (DMA). After you have obtained the value of the seized timber or article, then see **Table 4-2** to determine the forfeiture procedures to use.

TABLE 4-2 Determine Forfeiture Procedures to Use for Seized Timber or Articles

| If:                       | And you estimate the value of the seized material to be: | Then:  |
|---------------------------|--|--|
| Seized timber or articles | \$10,000 or less   | GO to <i>Forfeiture Procedures for Seizures Valued at \$10,000 or Less</i>   |
|                           | More than \$10,000                                       | GO to <i>Forfeiture Procedures for Seizures Valued Greater than \$10,000</i> |

**Forfeiture  
Procedures for  
Seizures Valued  
at \$10,000 or  
Less**

When the seizure is valued at \$10,000 or less, follow these steps and continue processing the violation:

1. Allow the owner to either waive title (by completing PPQ Form 623) to the material moving in violation of the legislation or to challenge the forfeiture of that material.
2. Advise the owner that the material becomes forfeited after 21 days.
3. Complete *PPQ Form 624, Notice of Seizure and Proposed Forfeiture* (see the example in **Figure A-8** and **Instructions for Completing Part 4, Worksheet** on page A-26), for material seized under CITES legislation. Then do as follows:
  - A. Verify that the file number is listed on all applicable forms (see **Filing System for Violations, Seizures, and Forfeitures** on page 4-17).
  - B. Make certain to record the date and time of posting PPQ Form 624 on *Block 9 of Part 1* (*Parts 2 and 3 are duplicates*) and *Block 7a of PPQ Form 624, Part 4, Worksheet*. **Immediately** post *Part 2* of PPQ Form 624 at the CBP or PPQ office in a conspicuous place that is accessible to the public, and keep posted for 21 days. The *Part 2* posting **must** be located at the office where the material was seized.
  - C. After 21 days, file and retain *Part 2* of PPQ Form 624 at the CBP or PPQ office where the material was seized.
  - D. File and retain PPQ Form 624, *Part 4*, as a worksheet to know what has happened, who was notified, and when the next step is to be taken. Update *Part 4* as necessary.
  - E. Make certain that all relevant documents have been collected and filed; and update the documents in the file as necessary.
4. Distribute PPQ Form 623 and PPQ Form 624 as follows:
  - ❖ If the owner or owner's agent is present and signs *PPQ Form 623, Waiver of Forfeiture Procedures*, then distribute PPQ Form 623 as follows:
    - Hand *Part 2* to the owner or agent
    - File *Part 1* with the CBP or PPQ file (providing the owner or agent with *Part 3* of PPQ Form 624 is **not** necessary)
  - ❖ If the owner or owner's agent is present and **did not** sign PPQ Form 623 or is **not** present, then send *Part 3* of *PPQ Form 624, Notice of Seizure and Proposed Forfeiture*, by **Certified** or

**Registered Mail with Return Receipt Requested** together with the following, to all persons believed to be owners or to have an interest in the seized material<sup>5</sup>:

- *PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property*
- *PPQ Form 625, Claim and Bond*
- *PPQ Form 626, Petition for Remission or Mitigation of Forfeiture*



If the owner or owner's agent is present and requests a copy of PPQ Form 624, then make a photocopy of *Part 3* and give the photocopy to the owner or owner's agent. You **must** also send the **original** *Part 3*, PPQ Form 624, to the owner or owner's agent by **Certified** or **Registered Mail with Return Receipt Requested** to comply with the regulations.



If multiple owners or agents are identified, then you may send photocopies of the required forms in lieu of the actual forms.

**5. Mail *Part 1* of PPQ Form 624, *Notice of Seizure and Proposed Forfeiture* to PPQ Headquarters at the following address:**

National CITES Coordinator  
USDA-APHIS-PPQ  
4700 River Road, Unit 52, 4D-04.20  
Riverdale, MD 20737-1236

For detailed instructions on completing forms for seizures valued at \$10,000 or less, see the following in **Appendix A**:

- ◆ PPQ Form 621, **page A-12** through **page A-13**
- ◆ PPQ Form 623, **page A-18** through **page A-20**
- ◆ PPQ Form 624, *Part 1*, **page A-21** through **page A-24**
- ◆ PPQ Form 624, *Part 4*, worksheet, **page A-25** through **page A-28**
- ◆ PPQ Form 625, **page A-36** through **page A-37**
- ◆ PPQ Form 626. **page A-38** through **page A-40**

If you need additional guidance, contact your PPQ Regional Botanist or the botanist that services your port.

Continue to **Step 5: Safeguard the Seized Timber or Articles**.

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<sup>5</sup> Those that may have an interest include interested parties such as the owner's agent, shipping line, or supplier. These people are identified on PPQ Form 624, *Part 4* (worksheet), *Block 6*.

**Forfeiture  
Procedures for  
Seizures Valued  
Greater than  
\$10,000**

When the seizure is valued greater than \$10,000, follow these forfeiture procedures, then continue processing the violation:

1. Modify *PPQ Form 624, Notice of Seizure and Proposed Forfeiture* as follows. See the example of **Modified PPQ Form 624, Notice of Seizure (Part 1)** on page A-29 and the instructions in **Table A-5 on page A-34**).
  - ❖ Cross out "AND PROPOSED FORFEITURE" in the form's title
  - ❖ Cross out "OTHER THAN PLANTS" in *Block 3*
  - ❖ Cross out the entire *Block 7*
  - ❖ Cross out the 8 in *Block 8*, and type the following in the block:

7. The Animal and Plant Health Inspection Service shall take appropriate action in accordance with 7CFR Part 356 and the Civil Forfeiture Reform Act of 2000.
2. Complete the modified *PPQ Form 624, Notice of Seizure*.
3. Proofread the completed *PPQ Form 624* to ensure that there are **no** inaccuracies or omissions.
4. Make certain you enter the appropriate dates on *PPQ Form 624, Part 4*, worksheet, *Blocks 6 and 7*.
5. Make sure that all relevant documents have been collected and filed. Update the file as necessary.
6. Write a narrative report of all relevant facts and circumstances of the violation, as follows:
  - ❖ Include the names of any witnesses
  - ❖ Cite the laws believed to have been violated
  - ❖ Prepare the narrative report on CBP or PPQ letterhead
    - Letterhead **must** be dated and bear your name, signature, and title
    - You **must** use CBP or PPQ letterhead since the seizure will be brought before a U.S. District Court by the U.S. Attorney's Office

If you need additional guidance, contact your PPQ Regional Botanist through proper channels.

7. Have the Port Director sign the modified PPQ Form 624. Assemble the following documents for **overnight shipment** to the USDA National CITES Coordinator:
  - ❖ CBP Agriculture Specialist or PPQ Plant Health Safeguarding Specialist or PPQ Export Certification Specialist's narrative report (original)
  - ❖ Modified PPQ Form 624 original *Part 1*
  - ❖ Correspondence and documents that accompanied the shipment
8. Send (via **overnight** shipment for next-day-delivery) the assembled documents (identified in 6, above), to the following address:

National CITES Coordinator  
USDA-APHIS-PPQ  
4700 River Road, Unit 52, 4D-04.20  
Riverdale, MD 20737-1236
9. Use **Certified** or **Registered Mail with Return Receipt Requested** to send the following forms to all persons believed to be owners or to have an interest in the seized material<sup>6</sup>:
  - ❖ Modified *PPQ Form 624, Notice of Seizure, Part 3*
  - ❖ *PPQ Form 626, Petition for Remission or Mitigation of Forfeiture*
10. Retain the modified PPQ Form 624, *Part 2* and *Part 4* (worksheet) in your Port files for five years.



Important

If multiple owners or agents are identified, then you may send photocopies of the forms in lieu of the actual forms.

For detailed instructions on completing forms for seizures valued greater than \$10,000, see the following in **Appendix A**:

- ◆ **Modified PPQ Form 624, Notice of Seizure (Part 1)** on page A-29 through page A-32
- ◆ **Modified PPQ Form 624, Notice of Seizure (Part 4, Worksheet)** on page A-33 through page A-35
- ◆ **PPQ Form 626, Petition for Remission or Mitigation of Forfeiture** on page A-38 through page A-40.

Go to **Step 5: Safeguard the Seized Timber or Articles** on page 4-10.

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<sup>6</sup> Those that may have an interest include interested parties such as owner's agent, shipping line, or supplier. These people are identified on PPQ Form 624, *Part 4, Block 6*.



## Step 5: Safeguard the Seized Timber or Articles



Important

Notify all parties involved that the seized material is **not** to be moved without CBP's or PPQ's permission.

### Request for Services to Transport, Store, and/or Dispose of Shipments

Safeguard the seized protected timber or articles until the material leaves your (CBP Agriculture Specialist, PPQ Plant Health Safeguarding Specialist, or PPQ Export Certification Specialist) care. Make sure that **no** part of the shipment is lost.

Forfeiture procedures can take a lengthy amount of time and considerable storage costs may accumulate. When material is seized and placed on hold pending final U.S. Government forfeiture, the CBP Agriculture Specialist (CBP-AS), PPQ Plant Health Safeguarding Specialist (PPQ-PHSS), or PPQ Export Certification Specialist (PPS ECS) **must immediately** contact the proprietor of the facility and inquire if storage fees apply to CBP or PPQ, and if there is room to continue to hold the shipment at the facility.

If any of the following conditions apply, then **immediately** complete a ***Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments***:

- ◆ No room is available to hold the shipment at the port facility
- ◆ Storage fees apply to DHS-CBP or USDA-PPQ at the port facility where the seized items are being held
- ◆ If the seized property is valued at \$10,000 or less and 20 days have elapsed since the issuance of *PPQ Form 624, Notification of Proposed Forfeiture* (20 days after the date PPQ Form 624 was posted)

Go to [http://www.aphis.usda.gov/ppq/manuals/port/pdf\\_files/Request\\_for\\_Services.pdf](http://www.aphis.usda.gov/ppq/manuals/port/pdf_files/Request_for_Services.pdf) to obtain a fillable copy of the *Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments*. See ***Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments*** on page A-3 for an example and instructions on completing the worksheet.

Forward the completed *Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments*, by e-mail attachment to the National CITES Coordinator, as follows:

thomas.m.thurmond@aphis.usda.gov

If e-mail is **not** available, then FAX the completed form to:

Attention: Mark Thurmond, National CITES Coordinator  
FAX # 301-734-8891

The contractor will contact the CBP or PPQ Point of Contact Officer to schedule an appointment to have the loading of the seized material supervised.

If room is available to hold and store the shipment at the port facility and storage fees **do not** apply, then contact your Regional CITES Specialist (John Arcery, PPQ Eastern Region, e-mail [john.n.arcery@aphis.usda.gov](mailto:john.n.arcery@aphis.usda.gov) or Timothy Torbett, PPQ Western Region, e-mail [timothy.j.torbett@aphis.usda.gov](mailto:timothy.j.torbett@aphis.usda.gov)), to determine if other temporary storage is necessary.

For seizures valued at \$10,000 or less, continue to **Step 6: Forfeit Seized or Abandoned Material Valued at \$10,000 or Less.**

For seizures valued greater than \$10,000, continue to **Step 7: Await Court Decision for Seized or Forfeited Material Valued Greater Than \$10,000.**

## Step 6: Forfeit Seized or Abandoned Material Valued at \$10,000 or Less

If *PPQ Form 625, Claim and Bond* is **not** received by your office within 20 after posting the *Notice of Proposed Forfeiture*, or if the importer or re-exporter **does not** present an acceptable CITES document, then you may forfeit seized or abandoned property valued at \$10,000 or less.

If *PPQ Form 625, Claim and Bond*, is received directly by your office within 20 days after posting the *Notice of Proposed Forfeiture*, then go to ***Procedures to Follow Upon Receipt of PPQ Form 625, Claim and Bond*** on page 4-13.



If *PPQ Form 625, Claim and Bond*, was received by the PPQ Deputy Administrator's Office, then you will be notified by PPQ. If storage is available at the port facility at **no** charge, then continue to HOLD and safeguard the seizure. You will be notified by PPQ of when to take custody, and you may be asked to serve papers issued by the U.S. Marshals Service.

If a CITES document is presented by an importer or exporter during the forfeiture process, then the document can **only** be accepted if the document was issued in accordance with *Conference Resolution 12.3, Section I*, paragraphs p), and q), (for replacement documents); and Section XIII, paragraphs a), b), and c), (for retrospective issue of permits and certificates). See ***Conference Resolution 12.3, Permits and Certificates*** on page B-4. Contact your Regional CITES Specialist<sup>7</sup> to assist you with determining if the CITES document is acceptable.

### Procedures for Taking Custody of Material

If 20 days after posting the *Notice of Forfeiture*, you **did not** receive *PPQ Form 625, Claim and Bond*, or you were **not** notified by PPQ that they received *PPQ Form 625, Claim and Bond*, or you **did not** receive an acceptable CITES document, then take custody of the seized material as follows:

1. Complete *PPQ Form 627, Declaration of Forfeiture*.
  - A. See the information recorded on *Part 2* and *Part 4* (worksheet) of *PPQ Form 624, Notice for Seizure and Proposed Forfeiture*.
  - B. See the example in ***Figure A-13*** on page A-41.

If *PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property*, was signed by the owner or agent, then completing *PPQ Form 627* is **not** necessary.

<sup>7</sup> Regional CITES Specialists are John Arcery (for PPQ Eastern Region), e-mail john.n.arcery@aphis.usda.gov; and Timothy Torbett (for PPQ Western Region), e-mail timothy.j.torbett@aphis.usda.gov.

2. Send a copy (Part II) of *PPQ Form 627, Declaration of Forfeiture*, by **Certified or Registered Mail with Return Receipt Requested**, to the owner(s) of the forfeited material.



The seized material is now the property of the United States Government.

3. Retain a copy (Part III) of *PPQ Form 627* in the port file.
4. Record in *Block 7(d), Part 4* (worksheet) of *PPQ Form 624, Notice for Seizure and Proposed Forfeiture*, the date and time you mail *PPQ Form 627*.

### Procedures to Follow Upon Receipt of *PPQ Form 625, Claim and Bond*

If *PPQ Form 625, Claim and Bond*, is received by your office within 20 days after the date of posting, then do as follows:

1. Record the date *PPQ Form 625* is received on *PPQ Form 624, Notice for Seizure and Forfeiture of Property Valued at \$10,000 or Less, Part 4* (worksheet), *Block 6*.
2. Make a copy of *PPQ Form 625* and retain the copy in your files.
3. Send the original *PPQ Form 625* (using **overnight** shipment for next day delivery) to the National CITES Coordinator at the following address:

National CITES Coordinator  
USDA-APHIS-PPQ  
4700 River Road, Unit 52, 4D-04.20  
Riverdale, MD 20737-1236

The National CITES Coordinator will handle referral of *PPQ Form 625* to the Deputy Administrator's Office. Continue to HOLD and safeguard the shipment.

4. The forfeiture process is now transferred from an APHIS administrative procedure to the Office of the U.S. District Court in the State where the seizure was made.
5. You will be notified by PPQ Headquarters of when to take custody of the seized or abandoned material. You may be asked to serve papers issued by the U.S. Marshals Service.



If *PPQ Form 625, Claim and Bond*, was received by the PPQ Deputy Administrator's Office, then you will be notified by PPQ Headquarters. If the shipment is being stored at the port facility, then ask the proprietor if room is available to continue to hold and store the shipment at **no** charge to DHS-CBP or USDA-PPQ (see [Request for Services to Transport, Store, and/or Dispose of Shipments](#) on page 4-10).

**Procedures to Follow Upon Receipt of PPQ Form 626, Petition for Remission and Mitigation of Forfeiture**

If *PPQ Form 626, Petition for Remission and Mitigation of Forfeiture*, is received by your office, then do as follows:

1. Record the date PPQ Form 626 is received on *PPQ Form 624, Notice of Seizure and Forfeiture, Part 4* (worksheet), *Blocks 6 and 7*.
2. Make a copy of PPQ Form 626 and retain the copy in your files.
3. Send the **original** PPQ Form 626 (using overnight shipment for next day delivery), to the National CITES Coordinator at the following address:

National CITES Coordinator  
USDA-APHIS-PPQ  
4700 River Road, Unit 52, 4D-04.20  
Riverdale, MD 20737-1236

The National CITES Coordinator will handle referral of PPQ Form 626 to the Deputy Administrator's Office.

4. Continue to HOLD and safeguard the material.



If *PPQ Form 626, Petition for Remission or Mitigation of Forfeiture*, is received by the PPQ Deputy Administrator, then you will be notified by PPQ. You are entitled to take custody of the seized material by issuing PPQ Form 627; however, CBP or PPQ **must** continue to HOLD and safeguard the material until final notification. **Do not** make arrangements to dispose of the material until you receive notification from PPQ Headquarters to do so. See [Request for Services to Transport, Store, and/or Dispose of Shipments](#) on page 4-10.

If PPQ Form 626 was **not** received or you have been notified by PPQ Headquarters to start the process for disposal, then continue to **Step 8: Start the Process for Disposal of Forfeited Material Valued at \$10,000 or Less**.

## Step 7: Await Court Decision for Seized or Forfeited Material Valued Greater Than \$10,000

Proceedings for seizures valued greater than \$10,000 are forwarded to the U.S. Attorney's office in the State where the seizure occurred. Disposition of the seized material is decided upon by the U.S. District Court. Depending on case load, the judicial forfeiture process can take several months or longer.



Important

If the shipment is being held at the port facility, then the CBP-AS **must** immediately contact the proprietor of the port facility and re-inquire if space is still available to continue to hold the shipment at **no** charge to DHS-CBP or USDA-PPQ.

If storage fees apply or space is **not** available to continue to hold the shipment at the port, then complete the *Request for Services to Store, Transport, and/or Dispose of Seized or Forfeited Shipments* (fillable request available at [http://www.aphis.usda.gov/ppq/manuals/port/pdf\\_files/Request\\_for\\_Services.pdf](http://www.aphis.usda.gov/ppq/manuals/port/pdf_files/Request_for_Services.pdf)) and see *Request for Services to Transport, Store, and/or Dispose of Shipments* on page 4-10 for distribution of the completed form.

If the District Court rules in favor of the Agency that made the seizure, then the seized material becomes the property of the U.S. Government, and can be disposed of. In most cases after the U.S. District Court makes their ruling, the forfeiture process is transferred to the U.S. Marshal's Service. The U.S. Marshals Service (**not** CBP or PPQ) finalizes custody and disposal of the forfeited material. You may be asked to serve papers issued by the U.S. Marshals Service.

**Request  
Transport,  
Storage, and  
Disposal of  
Forfeited  
Material Being  
Held**

**Step 8: Start the Process for Disposal of Forfeited Material  
Valued at \$10,000 or Less**

Seized material becomes the property of the U.S. Government 20 days after *PPQ Form 624, Declaration of Proposed Forfeiture* is posted.

If CITES Appendix I material is forfeited, then contact your PPQ Regional Botanist (John Arcery, PPQ Eastern Region, e-mail [john.n.arcery@aphis.usda.gov](mailto:john.n.arcery@aphis.usda.gov); Timothy Torbett, PPQ Western Region, e-mail [timothy.j.torbett@aphis.usda.gov](mailto:timothy.j.torbett@aphis.usda.gov), to discuss disposal options. Forfeited CITES Appendix I material **cannot** be sold and **must** be disposed of by other means.

If CITES Appendix II and Appendix III material is forfeited, the material is routinely sold at auction 60 days after the seized material becomes U.S. Government property.

If the shipment is currently being held at the port facility, then the material will be moved to contract storage to await disposal. You **must** immediately complete a *Request for Services to Store, Transport, and/or Dispose of Seized or Forfeited Shipments*, available at [http://www.aphis.usda.gov/ppq/manuals/port/pdf\\_files/Request\\_for\\_Services.pdf](http://www.aphis.usda.gov/ppq/manuals/port/pdf_files/Request_for_Services.pdf).

E-mail the completed *Request for Services to Store, Transport, and/or Dispose of Seized or Forfeited Shipments* as an attachment to the National CITES Coordinator, Mark Thurmond:

- ◆ E-mail [thomas.m.thurmond@aphis.usda.gov](mailto:thomas.m.thurmond@aphis.usda.gov)

If e-mail is **not** available, then FAX the completed form to the National CITES Coordinator:

- ◆ FAX 301-734-8891, Attention: Mark Thurmond

The contractor will contact the CBP or PPQ Point-of-Contact Officer to schedule an appointment to have the loading of the forfeited material supervised.

If the shipment is already being held in contract storage, then **do not** complete another *Request for Services to Store, Transport, and/or Dispose of Seized or Forfeited Shipments* as the National CITES Coordinator will use the initial form.

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## Maintenance of CITES Documents

The CBP Agriculture Specialists, PPQ Plant Health Safeguarding Specialists, or PPQ Export Certification Specialists at the port should file and maintain associated CITES documents for the following reasons:

- ◆ Facilitate a civil or criminal proceeding
- ◆ Give immediate access to prior actions taken on seized material (in case you are asked questions about a particular action)
- ◆ Identify repeat offenders

### Filing System for Violations, Seizures, and Forfeitures

To set up a filing system for violations, seizures, and forfeitures paperwork, use the following process:

1. Give each shipment found in violation of the legislation a separate file.
2. Label each file by first listing your port name, then the last two digits of the year followed by a hyphen, then the seizure number. The seizure number starts with 01 for the first seizure of the year. Each subsequent seizure will be numbered consecutively.

|                |  |
|----------------|--|
| <b>EXAMPLE</b> | The Port of Miami's first file for 2006 would be: Miami 06-01.<br><br>The second file would be numbered Miami 06-02. |
|----------------|--|

3. Place *Part 4 of PPQ Form 624, Notice of Seizure and Proposed Forfeiture*, in the front of each file and update as necessary. Add all applicable forms, such as the following:
  - ❖ *PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property* (if used)
  - ❖ *PPQ Form 625, Claim and Bond* (if used)
  - ❖ *PPQ Form 626, Petition for Remission or Mitigation of Forfeiture* (if used)
  - ❖ *PPQ Form 627, Declaration of Forfeiture* (if used)
  - ❖ Other relevant documents (i.e., Officer's Statement)

Retain each file for 5 years after the last documented action is taken.





# Appendix A

## *Forms and Permits*

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## Introduction

This appendix provides the reference list of violations to cite on PPQ forms, and examples and instructions for completing, distributing, and retaining PPQ forms.

## Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments

| Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments  |  |   |     |
|--|--|---|-----|
| <b>1. Seizure Number</b><br>(see Forfeiture Number/Port File Number)   |  | PHL-06-03   |     |
| <b>2. Description of Commodity</b><br>(example: rough-sawn lumber)   |  | rough sawn lumber   |     |
| <b>3. Quantity and Unit</b><br>list lumber in cubic meters; list veneer in square meters<br>(examples: 340 cubic meters; 100 square meters; 250 cartons, 40 boxes; 1,500 dowels;<br>10,000 pieces in 250 boxes; 45 pieces on 15 pallets) |  | 31.32 cubic meters  |     |
| <b>4. Common Name of Wood</b>  |  | bigleaf mahogany  |     |
| <b>5. Scientific Name of Wood</b>  |  | Swietenia macrophylla   |     |
| <b>6. Country of Origin</b>  |  | Belize  |     |
| <b>7. Weight in Kilograms</b>  |  | 15,600 kgs.   |     |
| <b>8. Dimensions of the Shipment</b><br>measure as one unit, then enter the length, width, and height in feet to determine the truck size needed to transport the shipment   |  | <b>Length</b>   | 36' |
|  |  | <b>Width</b>  | 8'  |
|  |  | <b>Height</b>   | 5'  |
| <b>9. Value of Shipment</b>  |  | \$62,350  |     |
| <b>10 a. Is the shipment on pallets?</b>   |  | <input checked="" type="radio"/> YES <input type="radio"/> NO                                 |     |
| <b>10b. If YES, are pallets part of the shipment?</b>  |  | <input checked="" type="radio"/> YES <input type="radio"/> NO                                 |     |
| <b>11. Location of Seized Material</b><br>name of the facility and complete address  |  | Bay Street Bonded Warehouse<br>123 Bay Street<br>Philadelphia, PA                             |     |
| <b>12. CBP or PPQ Point-of-Contact</b><br>name and phone number  |  | <input checked="" type="radio"/> CBP <input type="radio"/> PPQ<br>John Smith<br>(215)651-2102 |     |
| <b>13. Storage Charges Accrued-to-date</b>   |  | \$0   |     |
| <b>14. Amount the dock, pier, or warehouse will continue to charge on a daily basis</b>  |  | \$100   |     |
| <b>15. Date the Forfeited Property Valued at \$10,000 or Less can Be Disposed</b><br><b>must</b> be the date PPQ Form 627 was sent plus 60 days and <b>not</b> before  |  | will be notified  |     |
| If forfeited property is greater than \$10,000 value, then PPQ Headquarters will notify the contractor of the disposal date  |  |   |     |

FIGURE A-1 Example of Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments

## Purpose

The *Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments* worksheet is part of the process to obtain the transportation, storage, and if applicable, disposal cost of seized or forfeited material. See [page 4-10](#) through [page 4-16](#) for additional information.

## Instructions

Obtain a fillable copy of *Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments* [http://www.aphis.usda.gov/ppq/manuals/port/pdf\\_files/Request\\_for\\_Services.pdf](http://www.aphis.usda.gov/ppq/manuals/port/pdf_files/Request_for_Services.pdf) and complete the request as instructed in [Table A-1](#) below.

**TABLE A-1 Instructions for Completing Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments**

| Block |   | Instructions   |
|-------|---|--|
| 1     | Seizure Number                            | ENTER the forfeiture number or port file number  |
| 2     | Description of Commodity                  | ENTER a description of the material seized or forfeited  |
| 3     | Quantity and Unit                         | LIST the quantity and unit of the material seized  |
| 4     | Common Name of Wood                       | LIST the common name of the wood the material or articles are from   |
| 5     | Scientific Name                           | LIST the scientific name of the seized wood  |
| 6     | Country of Origin                         | LIST the country where the wood originated   |
| 7     | Weight in Kilograms                       | LIST, in kilograms, the weight of the shipment or wood seized or forfeited   |
| 8     | Dimensions of the Shipment                | MEASURE the material seized as one entire unit, and ENTER the dimensions in feet   |
| 9     | Value of Shipment                         | LIST the value of the items seized or forfeited  |
| 10a   | Is the shipment on pallets?               | CLICK the appropriate YES or NO button   |
| 10b   | If YES, are pallets part of the shipment? | If the pallets were removed and seized as part of the shipment then click YES; if not, click NO  |
| 11    | Location of Seized Material               | LIST the name of the facility where the seized material is currently located, and the complete address of the facility   |
| 12    | CBP or PPQ Point-of-contact               | If CBP, CLICK the CBP button and ENTER the CBP point-of-contact's name and phone number<br><br>If PPQ, CLICK the PPQ button and ENTER the PPQ point-of-contact's name and phone number |
| 13    | Storage Charges Accrued-to-date           | ENTER the storage costs, if any as of today.<br><br>If there are no storage costs as of today, then ENTER a 0  |

**TABLE A-1 Instructions for Completing Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments**

| Block |  | Instructions  |
|-------|--|---|
| 14    | Amount the dock, pier, or warehouse will continue to charge on a daily basis | ASK the dock, pier, or warehouse how much they will continue to charge each day for storing the shipment  |
| 15    | Date the Forfeited Property Valued at \$10,000 or Less can Be Disposed       | <p>If the shipment is valued at \$10,000 or under, COUNT from the date PPQ Form 627 was sent plus 60 days and ENTER the disposal date</p> <p>If the forfeited property is valued greater than \$10,000, then PPQ Headquarters will notify the contractor of the disposal date</p> |

**Distribution of Request for Services to Transport, Store, and/or Dispose of Seized or Forfeited Shipments**

E-mail the completed worksheet as an attachment to the National CITES Coordinator, Mark Thurmond:

◆ [thomas.m.thurmond@aphis.usda.gov](mailto:thomas.m.thurmond@aphis.usda.gov)

If e-mail is **not** available, then FAX the completed form to:

◆ Attn: Mark Thurmond, National CITES Coordinator  
FAX #301-734-8891

The contractor will contact the CBP or PPQ Point-of-contact Officer to schedule an appointment to have the loading of the forfeited material supervised.

## List of Violations

Use the violations listed in **Figure A-1** as a reference for the citation of regulations for CITES violations when completing *PPQ Form 518, Report of Violation*, and the seizure and forfeiture forms *PPQ Form 623*, *PPQ Form 624*, and *PPQ Form 627*.

| Regulation             | Violation  | Acceptable forms to cite regulation as appropriate |
|------------------------|--|--|
| 16 USC 1538(c)(1)      | Any violation of CITES   | ◆ PPQ Form 518                                     |
| 50 CFR 23.11           | Any violation of CITES   | ◆ PPQ Form 623                                     |
| 50 CFR 23.12 (a)(1)    | CITES violations involving the <b>importation</b> of <b>Appendix I</b> species   | ◆ PPQ Form 624                                     |
| 50 CFR 23.12(b)(1)     | CITES violations involving the <b>exportation</b> or <b>re-exportation</b> of <b>Appendix I</b> and <b>Appendix II</b> species                                   | ◆ PPQ Form 627                                     |
| 50 CFR 23.12(a)(2)     | CITES violations involving the <b>importation</b> of <b>Appendix II</b> species  |  |
| 50 CFR 23.12(a)(3)     | CITES violations involving the <b>importation</b> of <b>Appendix III</b> species   |  |
| 50 CFR 23.12(b)(2)(i)  | CITES violations involving the <b>exportation</b> or <b>re-exportation</b> of species listed in <b>Appendix III</b> by the United States                         |  |
| 50 CFR 23.12(b)(2)(ii) | CITES violations involving the <b>exportation</b> or <b>re-exportation</b> of species <b>not</b> listed in <b>Appendix III</b> by the United States              |  |
| 50 CFR 24.11 & 24.12   | Violations involving the <b>import</b> , <b>export</b> , or <b>re-export</b> of any CITES species through a <b>non-designated</b> port                           |  |
| 16 USC 1538(f)(1)      |  |  |
| 7CFR 355.11            | Violations of the <i>General Permit</i> or <i>Protected Plant Permit</i> requirement for commercial importation, exportation, or re-exportation of CITES species | ◆ PPQ Form 518 <sup>1</sup>                        |
| 7 CFR 355.20           | Violations of the marking and notification requirements for CITES species imported, exported, or re-exported by means <b>other than</b> the mail                 |  |
| 7 CFR 355.21           | Violations of the marking and notification requirements for CITES species imported, exported, or re-exported by mail   |  |
| 7 CFR 355.22(a)        | Violations of the requirement to have CITES documentation validated prior to the movement of an import of a CITES species from the Customs inspection area       |  |
| 7 CFR 355.22(b)        | Violations of the requirement to have CITES documentation validated prior to the exportation or re-exportation of a CITES species                                |  |
| 7 CFR 355.23           | Violations of the requirements involving record keeping, access, and reports for the commercial importation, exportation, or re-exportation of CITES species     |  |

**FIGURE A-1 Reference for CITES Violations Citation of Regulations on Applicable PPQ Forms 518, 623, 624, and 627**

<sup>1</sup> If the violation warrants seizure and forfeiture, then citation of 7CFR 355 may be used on PPQ Forms 623, 624, and 627. See [Step 1: Determine if a Violation of USDA Regulations Concerning CITES Regulated Plants Exists](#) on page 4-2.

## PPQ Form 518, Report of Violation

The information requested is voluntary, and is needed to record your knowledge of possible irregularities under the USDA Plant Protection and Quarantine Program.

|  |  |   |  |
|--|--|---|--|
| <p>U. S. DEPARTMENT OF AGRICULTURE<br/>ANIMAL AND PLANT HEALTH INSPECTION SERVICE</p> <p><b>REPORT OF VIOLATION</b></p>  |  | <p><b>SERIAL NO. A 98255</b></p>  |  |
| <p>3. WHERE INTERCEPTED (City or Port, and State; also county if domestic)<br/><b>Jamaica, New York</b></p>  |  | <p>1. DATE VIOLATION DISCOVERED<br/><b>June 28, 2004</b></p>  | <p>2. VIOLATED - REG./COMPL. AGREEMENT<br/><b>*See Block 15, REMARKS</b></p> |
| <p>6. ARTICLE MOVED IN VIOLATION OF REGULATIONS<br/><b>CITES Regulated timber</b></p>  |  | <p>4. COUNTRY OF ARTICLE (Include county if domestic)<br/><b>Brazil</b></p>   |  |
| <p>7. NAME AND BUSINESS ADDRESS OF VIOLATOR (Shipper, caterer, cleaner, garbage handler, servicing agent, broker, ship's agent, etc. Identify which.)<br/><br/><b>Jeffrey's Guitars<br/>140 Pine Ridge Road<br/>Delray Beach, FL 33446</b></p>   |  | <p>8. IDENTITY OF ARTICLE (Serial No., Waybill No., description, etc.)<br/><b>Guitar parts BL MOLU-82534A36-0</b></p>   |  |
| <p>10. NAME AND BUSINESS ADDRESS OF CARRIER<br/><br/><b>DHL<br/>1345 Main Street<br/>Memphis, TN 38103</b></p>   |  | <p>9. VIOLATOR HAD Compliance agreement? <input type="checkbox"/> Yes <input type="checkbox"/> No Permit? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>9. IF NO, VIOLATOR WAS AWARE OF REGULATION<br/><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown<br/>If "Yes" - how informed and when?</p> |  |
| <p>12. IDENTITY OF CARRIER<br/>PLANE Acft. No. <b>DHL</b> Flight No. <b>DL72</b><br/><br/>SHIP Flag Name<br/><br/>ROAD VEHICLE License No.</p>   |  | <p>11. CARRIER WAS AWARE OF REGULATION<br/><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Unknown<br/>If "Yes" - how informed and when?</p>   |  |
| <p>13. NAME AND BUSINESS ADDRESS OF CONSIGNEE<br/><br/><b>Same as Block 7</b></p>  |  | <p>14. DISPOSITION OF PEST RISK (i.e., articles named in Item 5 were fumigated, destroyed, etc.)<br/><br/><b>N/A</b></p>  |  |
| <p>15. REMARKS (Attach additional sheet, if needed) * 2. VIOLATED REG. 16 USC 1538(c)(i), 7CFR 355.20, 50CFR 23.11, 50 CFR 23.12(a)(i)</p> <p>The violator attempted to import .5 M<sup>3</sup> of <i>Dalbergia nigra</i> (Brazilian rosewood) wood without CITES documentation. The wood was not listed as rosewood or <i>Dalbergia nigra</i> on the tag, invoice, packing list, or markings on the shipping container. The importer did not notify CBP. Therefore, the importer failed to provide the genus and species of the regulated material.</p> |  |   |  |
| <p>16. VIOLATOR OR CARRIER'S STATEMENT OF VIOLATION (Attach additional sheet, if needed identify who gave statement)</p> <p><b>Violator stated he was unaware of the regulations.</b></p>  |  |   |  |
| <p>17. OFFICER'S STATEMENT: Must attach a detailed, signed and dated statement. State how the action violated the regulations or compliance agreement cited in Item 2. Describe fully the facts of the violation from discovery through disposition of pest risk including when, who, what, and where.</p>   |  |   |  |
| <p>18. SIGNATURE OF INITIATING OFFICER<br/><i>Tony L. James</i></p>  |  | <p>19. PRINTED NAME OF OFFICER AND WORK UNIT<br/><b>TONY L. JAMES, CARGO</b></p>  |  |
| <p>20. DATE REPORT COMPLETED<br/><b>JUNE 28, 2004</b></p>  |  | <p>21. OFFICER IN CHARGE COMMENTS (Attach additional sheet, if needed)<br/><br/>List Previous Violations: <b>NONE</b><br/><br/>Recommendations: <b>Civil Penalty</b></p>  |  |
| <p>22. SIGNATURE OF OFFICER IN CHARGE<br/><i>John S. Murray</i></p>  |  | <p>23. PRINTED NAME OF OFFICER IN CHARGE AND WORK UNIT<br/><b>John S. Murray</b></p>  |  |
| <p>24. DATE SIGNED<br/><b>June 28, 2004</b></p>  |  | <p>PPQ FORM 518 (MAR 88) Previous editions obsolete.</p>  |  |

**PART 1 - IES STAFF**

FIGURE A-2 Example of PPQ Form 518, Report of Violation

## Purpose

*PPQ Form 518, Report of Violation*, as relates to CITES is used to report violations of 7CFR 355, 50CFR 23, and 50CFR 24, and becomes part of the total case file together with the Officer's Statement.

## Instructions

Follow the instructions in [Table A-2](#) to complete PPQ Form 518 for CITES violations.

**TABLE A-2 Instructions for Completing PPQ Form 518, Report of Violation**


| Block |   | Instructions  |
|-------|---|---|
| 1     | DATE VIOLATION DISCOVERED                       | 1. LIST the date the violation was discovered<br>2. If discovered after the violation occurred, then EXPLAIN in <i>Block 15, REMARKS</i>                                      |
| 2     | VIOLATED-REG/COMPL AGREEMENT                    | CITE the regulations violated; see <a href="#">A-1, Reference for CITES Violations Citation of Regulations on Applicable PPQ Forms 518, 623, 624, and 627</a> , on page A-A-6 |
| 3     | WHERE INTERCEPTED                               | LIST the name of the port where the violation occurred  |
| 4     | ORIGIN OF ARTICLE (include country if domestic) | LIST the name of the country where the article originated or the timber was grown   |
| 5     | ARTICLE MOVED IN VIOLATION OF REGULATIONS       | LIST the name of the CITES regulated articles   |
| 6     | IDENTITY OF ARTICLE                             | LIST the waybill number, serial number, etc.  |
| 7     | NAME AND ADDRESS OF VIOLATOR                    | LIST the violator's name and business address   |
| 8     | VIOLATOR HAD                                    | CHECK the applicable box  |
|       | Compliance agreement                            | LEAVE blank; <b>not</b> applicable  |
|       | Permit  | ◆ If the violator had a permit, then CHECK YES<br>◆ If the violator <b>did not</b> have a permit, then CHECK NO   |
| 9     | IF NO, VIOLATOR WAS AWARE OF REGULATION         | COMPLETE as applicable  |
|       | If YES, how informed and when                   | COMPLETE as applicable  |
| 10    | NAME AND BUSINESS ADDRESS OF CARRIER            | LIST the carrier's name and business address  |
| 11    | CARRIER WAS AWARE OF REGULATION                 | CHECK the applicable box  |
| 12    | IDENTITY OF CARRIER                             | COMPLETE as appropriate   |



**TABLE A-2 Instructions for Completing PPQ Form 518, Report of Violation (continued)**

| Block |  | Instructions  |
|-------|--|---|
| 13    | NAME AND BUSINESS ADDRESS OF CONSIGNEE       | LIST the name and address of the violator (same as <i>Block 7</i> )   |
| 14    | DISPOSITION OF PEST RISK                     | LEAVE blank; <b>not</b> applicable  |
| 15    | REMARKS                                      | ENTER any pertinent remarks   |
| 16    | VIOLATOR OR CARRIER'S STATEMENT OF VIOLATION | <p>If applicable, do the following:</p> <ol style="list-style-type: none"> <li>1. ASK the violator to provide an explanation of the incident and get a written statement as soon as possible</li> <li>2. GET statements from the carrier, agent, importer, or any other party involved</li> <li>3. TITLE the statement "Violator's Statement" or "Agent's Statement", etc., and GIVE the statement an exhibit number and ENTER the words "See attached [<i>Violator/Carrier/Agent/Importer's</i>] Statement" in this block</li> <li>4. If the person refuses to write a statement, then DO as follows: <ul style="list-style-type: none"> <li>◆ ASK the person to tell you what happened relative to the violation</li> <li>◆ WRITE down exactly what the person says</li> <li>◆ INDICATE the statement was transcribed by you, the officer and use your transcription as the statement</li> </ul> </li> <li>5. If the person gives you <b>only</b> a few brief remarks, then LIST these directly in <i>Block 16</i></li> </ol> |

**TABLE A-2 Instructions for Completing PPQ Form 518, Report of Violation (continued)**

| Block |   | Instructions  |
|-------|---|---|
| 17    | OFFICER'S STATEMENT                             | <div data-bbox="813 394 922 506">  <p><b>Important</b></p> </div> <div data-bbox="943 380 1409 520" style="background-color: #e0f2f1; padding: 5px;"> <p>An Officer's Statement <b>must</b> be written and accompany each completed PPQ Form 518 submitted.</p> </div> <ol style="list-style-type: none"> <li>1. WRITE your explanation of the violation on a separate sheet of paper and title "Officer's Statement"</li> <li>2. GIVE this statement an exhibit number</li> <li>3. DESCRIBE all the facts that resulted in the article listed in <i>Block 5</i> being in violation of the regulation listed in <i>Block 2</i></li> <li>4. STATE all the facts including who, what, when, where, how</li> <li>5. INCLUDE the following information where appropriate: <ul style="list-style-type: none"> <li>◆ When and where the violation occurred</li> <li>◆ How the violation occurred</li> <li>◆ Identify the owner of the regulated articles</li> <li>◆ Refer to your exhibits and explain their relevance to the case</li> <li>◆ If you witnessed the violation, state so</li> </ul> </li> <li>6. Officer SIGNS and DATES the statement</li> <li>7. If more than one officer was involved with the violation, then each officer <b>must</b> WRITE a separate statement</li> </ol> |
| 18    | SIGNATURE OF INITIATING OFFICER                 | Initiating officer SIGNS this block   |
| 19    | PRINTED NAME AND WORK UNIT                      | PRINT the initiating officer's name and work unit   |
| 20    | DATE REPORT COMPLETED                           | LIST the date this form is completed  |
| 21    | OFFICER IN CHARGE COMMENTS                      | <ol style="list-style-type: none"> <li>1. LIST any additional information that may help to substantiate the case, such as previous warning letters and dates sent, any known previous civil penalties, case numbers, and dates and amounts of penalties assessed</li> <li>2. LIST your recommendation for one of the following: <ul style="list-style-type: none"> <li>◆ Warning letter</li> <li>◆ Civil penalty</li> <li>◆ Criminal penalty</li> </ul> </li> </ol>   |
| 22    | SIGNATURE OF OFFICER IN CHARGE                  | Officer-in-charge (Port Director) signs   |
| 23    | PRINTED NAME OF OFFICER IN CHARGE AND WORK UNIT | PRINT the name and work unit of officer-in-charge (Port Director)   |
| 24    | DATE SIGNED                                     | LIST the date the officer-in-charge signed <i>Block 22</i>  |

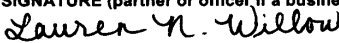
## Distribution of PPQ Form 518

Include PPQ form 518, the Officer's Statement, and any other attached statements in the case file in the distribution shown in **Table A-3**.

**TABLE A-3 Distribution of PPQ Form 518 Case File**

| If you are:   | Then:   |
|---|---|
| CBP   | SEND through channels   |
| PPQ Plant Health Safeguarding Specialist or PPQ Export Certification Specialist | <ol style="list-style-type: none"> <li>1. MAKE a copy for your file</li> <li>2. GIVE or SEND the originals of the entire case file to the Port Director</li> </ol>  |
| Port Director   | <ol style="list-style-type: none"> <li>1. If you made a separate statement concerning the violation, then ATTACH the statement to the top of the file</li> <li>2. GIVE or SEND the entire case file to the Plant Health Director of the State where the violation originated</li> </ol>   |
| State Plant Health Director   | <ol style="list-style-type: none"> <li>1. ARRANGE the contents of the case file in the following order: <ol style="list-style-type: none"> <li>a. Port Director's Statement</li> <li>b. PPQ Form 518</li> <li>c. List of Exhibits</li> <li>d. Officer's Statement</li> <li>e. Clear readable copies of all other documents in the file</li> <li>f. Photographs and other physical evidence</li> <li>g. Warning letter or other information about previous violations</li> </ol> </li> <li>2. SEND the entire case file (originals) to Investigative and Enforcement Services at the following address: <p>USDA-APHIS-IES<br/>4700 River Road, Unit 85<br/>Riverdale, MD 20737</p> </li> </ol> |

## PPQ Form 621, Application for Protected Plant Permit to Engage in Business of Importing, Exporting, or Re-exporting...

|   |  |  |  |   |
|---|--|--|--|---|
| According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0579-0076. The time required to complete this information collection is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. |  | <b>FORM APPROVED</b><br><b>OMB NO 0579-0076</b>  |  |   |
| U.S. DEPARTMENT OF AGRICULTURE<br>ANIMAL AND PLANT HEALTH INSPECTION SERVICE<br>PLANT PROTECTION AND QUARANTINE   |  | <b>MAIL COMPLETED APPLICATION WITH CHECK TO:</b><br><br><b>USDA-APHIS-PPQ-Permit Unit</b><br>4700 River Road, Unit 136<br>Riverdale, Maryland 20737-1236<br>(877) 770-5990 |  |   |
| <b>APPLICATION FOR PROTECTED PLANT PERMIT TO ENGAGE IN THE BUSINESS OF IMPORTING, EXPORTING OR RE-EXPORTING TERRESTRIAL PLANTS</b><br><b>REGULATED BY 50 CFR 17.12 AND 23.23</b>  |  |  |  |   |
| <b>INSTRUCTIONS:</b> One copy of this application must be accompanied by a check or money order for \$70.00 made payable to: Plant Protection and Quarantine. In addition, if you are importing wood products, "Regulated under 7 CFR 319.40", please complete PPQ Form 585. If you are importing regulated plant material, please complete PPQ Form 587 in addition to this form.  |  |  |  |   |
| <b>1. NAME AND UNITED STATES ADDRESS OF APPLICANT:</b><br><br>Woodrow J. Willow<br>10 S. Main Street<br>Willow, WI 54811  | <b>2. NAME OF BUSINESS:</b><br>WJW Lumber Company, Inc.<br><br><b>3. TELEPHONE NO.:</b> 512-555-4321<br><br><b>4. FAX NO.:</b> 512-555-4333  |  |  |   |
| <b>5. FORM OF BUSINESS ("X" one if applying as a business)</b><br><br><input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Firm <input type="checkbox"/> Partnership <input type="checkbox"/> Other (specify)   |  |  |  |   |
| <b>5(a). Describe the Nature of Your Activities Relating to Importing, Exporting, or Reexporting Plants Regulated by 50 CFR 17.12 and 23.23.</b><br>Import bigleaf mahogany (Swietenia macrophylla) to manufacture plywood  |  |  |  |   |
| <b>5(b). List the Name and Address of Each Partner, Officer, Director, Holder, and Owner of 10% or More of Voting Stock, and Employee in Managerial or Executive Capacity (use plain paper if additional space is needed)</b><br><br><table style="width: 100%;"> <tr> <td style="width: 50%;">Woodrow J. Willow<br/>10 S. Main Street<br/>Willow, WI 54811</td> <td style="width: 50%;">Lauren N. Willow<br/>10 S. Main Street<br/>Willow, WI 54811</td> </tr> </table>  |  |  | Woodrow J. Willow<br>10 S. Main Street<br>Willow, WI 54811 | Lauren N. Willow<br>10 S. Main Street<br>Willow, WI 54811 |
| Woodrow J. Willow<br>10 S. Main Street<br>Willow, WI 54811  | Lauren N. Willow<br>10 S. Main Street<br>Willow, WI 54811  |  |  |   |
| <b>6. Address(es) Where Plants Regulated by 50 CFR 17.12 and 23.23 Would be Grown or Stored and Any Other Location Where Activities Related to Such Plants Would be Conducted:</b><br><br>10 S. Main Street, Willow, WI 54811<br><br>5050 Willow Wood Lane, Willow, WI 54811  |  |  |  |   |
| <b>7. Street Address Where Books or Records Concerning the Importation, Exportation or Reexporting of Plants Regulated by 50 CFR 17.12 and 23.23 will be kept:</b><br><br>10 S. Main Street<br>Willow, WI 54811   | <b>8. Name and Address of the Person Authorized to Make Records or Plant Inventories Available for Examination by Inspectors:</b><br><br>Lauren N. Willow<br>10 S. Main Street<br>Willow, WI 54811<br><br>Telephone Number (Include Area Code): 512-555-4321 |  |  |   |
| I hereby certify that the information in this application is complete and accurate to the best of my knowledge and belief. <b>WARNING:</b> Any alteration, forgery, or unauthorized use of this document is subject to civil penalties of up to \$250,000 (7 U.S.C 7734(b)) or punishable by a fine of not more than \$10,000, or imprisonment of not more than 5 years, or both (18 U.S.C 1001) False Statement:   |  |  |  |   |
| <b>9. SIGNATURE (partner or officer if a business)</b><br>   | <b>10. DATE</b><br>7-31-05   |  |  |   |
| PPQ FORM 621 (NOV 2004) <span style="float: right;">Previous edition is obsolete.</span>  |  |  |  |   |

**FIGURE A-3 Example of PPQ Form 621, Application for Protected Plant Permit to Engage in the Business of Importing, Exporting, or Re-exporting Terrestrial Plants**

## Purpose

*PPQ Form 621, Application for Protected Plant Permit to Engage in the Business of Importing, Exporting, or Re-exporting Terrestrial Plants*, is used to apply for a *PPQ Form 622, Protected Plant Permit*.

The previous edition and title, *PPQ Form 621, Application for General Permit to Engage in the Business of Importing, Exporting, or Re-exporting Terrestrial Plants*, is obsolete.

## Instructions


The permittee completes this form.

## Distribution of PPQ Form 621

The permittee sends the completed form along with a \$70 check or money order made payable to "Plant Protection and Quarantine" to the PPQ Permit Unit at the following address:

USDA-APHIS-PPQ  
Permit Unit  
4700 River Road, Unit 136  
Riverdale, MD 209737-1236

## PPQ Form 622, General Permit

|   |  |
|---|--|
|  | No. _____  |
| <b>United States<br/>Department of<br/>Agriculture</b>                            | <b><i>General Permit</i></b>   |
| Animal and<br>Plant Health<br>Inspection<br>Service                               | <b>To engage in the business of<br/>importing, exporting or reexporting terrestrial plants<br/>listed in 50 CFR 17.12 or 23.23</b> |
| Plant Protection<br>and Quarantine  | <b>Issued to:</b>  |
|   | Expiration Date _____ Approving Official _____   |

PPQ FORM 622  
(APR 95)

PART 1 – PERMITTEE

FIGURE A-4 Example of PPQ Form 622, General Permit (blank)

### Purpose

*PPQ Form 622*, has been renamed is now issued as *PPQ Form 622, Protected Plant Permit*. See ***PPQ Form 622, Protected Plant Permit*** on page A-16.

### Instructions

For General Permits issued prior to October 4, 2005, the old *PPQ Form 622, General Permit*, will remain in use until the two-year renewal period expires. Continue to accept valid *PPQ Form 622, General Permit*, until the expiration date listed on the permit. After October 4, 2007, all outstanding General Permits will have expired.

### Distribution of PPQ Form 622, General Permit

*PPQ Form 622, General Permit*, was issued and distributed by the USDA-APHIS-PPQ Permit Services until October 4, 2005.

## PPQ Form 622, Protected Plant Permit

|  |  |
|--|--|
| <br><b>United States<br/>Department of<br/>Agriculture</b><br><br>Animal and<br>Plant Health<br>Inspection<br>Service<br><br>Plant Protection<br>and Quarantine | No. _____<br><br><b><i>Protected Plant Permit</i></b><br><br><b>To engage in the business of</b><br><br><b>importing, exporting, or reexporting terrestrial plants</b><br><br><b>regulated by 50 CFR 17.12 or 23.23</b><br><br><b>Issued to:</b><br><br><br><div><div>Expiration Date</div><div>Approving Official</div></div> |
|--|--|

PPQ FORM 622 (JAN 2004)

PART 1 - PERMITTEE

FIGURE A-5 Example of PPQ Form 622, Protected Plant Permit (blank)



### Purpose

*PPQ Form 622, Protected Plant Permit*, is one document required for importers, exporters, and re-exporters to engage in the commercial trade of CITES listed plants. This form was formerly titled General Permit (GP).

### Instructions

Applicants **must** first complete and submit PPQ Form 621 before obtaining a *Protected Plant Permit*.

### Distribution of PPQ Form 622, Protected Plant Permit

*PPQ Form 622, Protected Plant Permit*, is issued and distributed by USDA-APHIS-PPQ Permit Services.

## PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property

The following example is for seizures valued at \$10,000 or less.

|  |                              |  |                                    |
|--|------------------------------|--|------------------------------------|
| Filing of this waiver is voluntary, and waives the requirement for formal notice at each step of the legal proceedings (7 CFR 356).  |                              | See reverse side for additional information. | FORM APPROVED<br>OMB NO. 0579-0076 |
| U.S. DEPARTMENT OF AGRICULTURE<br>ANIMAL AND PLANT HEALTH INSPECTION SERVICE<br>PLANT PROTECTION AND QUARANTINE  |                              | FILE NO.<br>Miami 04-03                      |                                    |
| <b>WAIVER OF FORFEITURE PROCEDURES BY OWNER OF SEIZED PROPERTY</b>   |                              |  |                                    |
| 1. The property described below was seized by the U. S. Department of Agriculture on (date) 06/28/04 at (time) 1430 at (place) Pier 17, Port of Miami and is now in the custody of the Officer in Charge of Plant Protection and Quarantine, at Miami, Florida. This property is subject to procedures relating to forfeitures in 7 CFR 356.1 - 356.9.   |                              |  |                                    |
| <b>2. DESCRIPTION OF PROPERTY</b>  |                              |  |                                    |
| Common Name  | Scientific Name              | Number of Plants or Parts                    |                                    |
| Bigleaf Mahogany   | <i>Swietenia macrophylla</i> | 30 cubic meters                              |                                    |
| <b>3. DESCRIPTION OF PROPERTY OTHER THAN PLANTS (include any identifying numbers)</b>  |                              |  |                                    |
| 10 bundles of lumber stenciled BLC in red paint  |                              |  |                                    |
| <b>4. THIS PROPERTY WAS SEIZED BECAUSE</b>   |                              |  |                                    |
| The CITES document presented had expired   |                              |  |                                    |
| THIS WAS IN VIOLATION OF 16 USC 1538(c)(i), 50CFR 23.11, 50 CFR 23.12(a)(ii)   |                              |  |                                    |
| <b>5. PLANTS NOW LOCATED AT</b>  |                              | <b>6. ARRIVED ON (Carrier)</b> 06/24/04      |                                    |
| Pier 17, Port of Miami   |                              | <b>7. WAYBILL NO.</b> MOLU37560 A7-5         |                                    |
| I hereby voluntarily abandon the plants listed above to the U.S. Government.   |                              |  |                                    |
| I understand that the following are my rights concerning the above listed property:  |                              |  |                                    |
| <p>1. The right to challenge a forfeiture action brought by the United States Government. This is done by filing a claim to the property and a bond in the amount of \$250., with sureties to be approved by the Deputy Administrator, Plant Protection and Quarantine. I understand that in case of condemnation of the articles so claimed, I, as obligor, shall pay all the costs and expenses of the proceedings to obtain such condemnation. Any claim and bond challenging the forfeiture action must be received in the above mentioned Plant Protection and Quarantine Office within 20 days after the posting of a copy of a notice of seizure and proposed forfeiture and shall state claimant's interest in the property.</p> <p>2. The right to file a petition for remission or mitigation of forfeiture with the Deputy Administrator, Plant Protection and Quarantine, Animal and Plant Health Inspection Services, U. S. Department of Agriculture, Room 302-E Administration Building, Washington, DC 20250, in accordance with the procedures in 7 CFR 356.7 (copy of this section of the regulation is reproduced on the reverse of this form). This does not allow the remission or mitigation of plants that are without documentation required under 50 CFR Chapter I.</p> |                              |  |                                    |
| I have read and understand the rights stated above and knowingly waive all my claims to, interests in, and further rights or proceedings relative to such plants, including the right to challenge forfeiture actions and the right to petition for remission or mitigation of forfeiture.   |                              |  |                                    |
| <b>8. NAME AND ADDRESS OF OWNER(S)</b>   |                              |  |                                    |
| Frederick Bowman, Bowman's Lumber Company, 167 Industry Blvd., Delray Beach, FL 33446  |                              |  |                                    |
| <b>9. SIGNATURE OF OWNER(S)</b>  |                              | <b>10. DATE</b>                              |                                    |
| Frederick Bowman   |                              | 06/28/04                                     |                                    |
| <b>11. SIGNATURE OF WITNESS</b>  |                              | <b>12. DATE</b>                              |                                    |
| Douglas Bowman   |                              | 06/28/04                                     |                                    |
| <b>13. DISPOSITION OF PLANTS</b>   |                              |  |                                    |
| Lumber on HOLD and Safeguarded at Pier 17, Port of Miami   |                              |  |                                    |
| PPQ FORM 623<br>(JUN 89)   |                              | PART 1 - PPQ PORT FILES                      |                                    |

FIGURE A-6 Example of PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property

## Purpose

**PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property**, is used to allow the owner to waive title to the material moving in violation of the legislation. This form is used for seizures valued at \$10,000 or less.

## Instructions

Complete PPQ Form 623 as shown in **Table A-1** below.

**TABLE A-1 Instructions for Completing PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property (for seizures valued at \$10,000 or less)**

| Block |  | Instructions  |
|-------|--|---|
|       | FILE NO.   | List the port file number (see <a href="#">Filing System for Violations, Seizures, and Forfeitures</a> )  |
| 1     | The property described below was seized by the U.S. DA on <i>[date]</i> at <i>[time]</i> at <i>[place]</i> | <ol style="list-style-type: none"> <li>1. LIST the date and time CBP or PPQ determines a shipment warrants forfeiture procedure and verifies the physical location of the shipment as either in a CBP- or PPQ-owned, leased, or approved facility, or within a Customs bonded operation (seizure date)</li> <li>2. LIST the name of the port, city and State where the seizure occurred</li> <li>3. LIST the city and state where the property is being held</li> </ol> |
| 2     | DESCRIPTION OF PROPERTY  | <ol style="list-style-type: none"> <li>1. LIST the common name of the wood the article or lumber is derived from</li> <li>2. LIST the scientific name of the wood the article is derived from</li> <li>3. LIST the quantity seized (number of pieces, cubic meters, squares meters, etc. according to commodity)</li> </ol>   |
| 3     | DESCRIPTION OF PROPERTY...   | <ol style="list-style-type: none"> <li>1. MODIFY this block by crossing out or lining out the words "OTHER THAN PLANTS"</li> <li>2. WRITE a description of the article (include identifying marks. serial number, etc.)</li> </ol>  |
| 4     | THIS PROPERTY WAS SEIZED BECAUSE   | WRITE a description of the violation<br><br><b>EXAMPLE</b> CITES document presented has expired.  |
|       | THIS WAS IN VIOLATION OF   | WRITE the CFR number and USC number of the regulation violated<br>(see <a href="#">List of Violations</a> on <b>page A-6, Figure A-1</b> )  |
| 5     | PLANTS NOW LOCATED AT  | LIST the location of the plants, plant parts, or derivatives (such as wood, lumber, or articles made from wood)   |
| 6     | ARRIVED ON   | LIST the carrier's name   |
| 7     | WAYBILL NO   | LIST the waybill number   |
| 8     | NAME AND ADDRESS OF OWNER(S)   | Owner COMPLETES this block and LISTS name and address   |

**TABLE A-1 Instructions for Completing PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property (for seizures valued at \$10,000 or less) (continued)**

| Block |                       | Instructions  |
|-------|-----------------------|---|
| 9     | SIGNATURE OF OWNER(S) | Owner SIGNS this block  |
| 10    | DATE                  | Owner LISTS the date signed   |
| 11    | SIGNATURE OF WITNESS  | CBP Agriculture Specialist, PPQ Plant Health Safeguarding Specialist, or PPQ Export Certification Specialist SIGNS as a WITNESS to the owner signing <i>Block 9</i> ; otherwise, another person should sign as witnessing the signing of <i>Block 9</i> |
| 12    | DATE                  | Witness (to the signing of <i>Block 9</i> ) ENTERS the date <i>Block 11</i> is signed   |
| 13    | DISPOSITION OF PLANTS | CBP Agriculture Specialist, PPQ Plant Health Safeguarding Specialist, or PPQ Export Certification Specialist RECORDS the status of the seizure<br><br><b>EXAMPLE</b> Lumber is on HOLD at Pier 17.  |

## Distribution and Retention of PPQ Form 623

Distribute and retain PPQ Form 623 as follows:

- ◆ If the owner or owner's agent is present and signs *PPQ Form 623, Waiver of Forfeiture Procedures*, then distribute the form as follows:
  - ❖ FILE *Part 1* in the Port file and retain for 5 years
  - ❖ GIVE *Part 2* to the owner or agent
- ◆ If the owner or owner's agent is present but will **not** sign the form or is **not** present, then send *PPQ Form 623, Waiver of Forfeiture* by **Certified or Registered Mail with Return Receipt Requested**, together with the following forms to all persons believed to be the owner or owners or to have an interest in the seized material<sup>1</sup>:
  - ❖ *PPQ Form 624, Notice of Seizure and Proposed Forfeiture, Part 3*
  - ❖ *PPQ Form 625, Claim and Bond*
  - ❖ *PPQ Form 626, Petition for Remission or Mitigation of Forfeiture*

<sup>1</sup> Those that may have an interest include interested parties such as the owner's agent, shipping line, or supplier. These people are identified in PPQ Form 624, *Part 4, Worksheet, Block 6*.

## PPQ Form 624, Notice of Seizure and Proposed Forfeiture (Parts 1, 2, 3)

This example of *Part 1* (*Parts 2 and 3* are duplicates of *Part 1*), is for seizures valued at \$10,000 or less.

| U.S. DEPARTMENT OF AGRICULTURE<br>ANIMAL AND PLANT HEALTH INSPECTION SERVICE<br>PLANT PROTECTION AND QUARANTINE   |                 | FILE NO.                           |
|---|-----------------|------------------------------------|
| <b>NOTICE OF SEIZURE AND PROPOSED FORFEITURE</b>  |                 | Miami 04-01                        |
| 1. The property described below was seized by the U. S. Department of Agriculture on (date) ..... at (time) 1330<br>at (place) Pier 12, Port of Miami, ..... and is now in the custody of the Officer in Charge of Plant Protection and Quarantine,<br>at Miami, Florida, ..... This property is subject to procedures relating to forfeitures in 7 CFR 356.1 - 356.9.  |                 |                                    |
| 2. DESCRIPTION OF PROPERTY  |                 |                                    |
| Common Name   | Scientific Name | Number of Plants or Parts          |
| Ramin   | Gonystylus sp.  | 1.158 cubic meters                 |
| 3. DESCRIPTION OF PROPERTY OTHER THAN PLANTS (Include any identifying numbers)  |                 |                                    |
| Wooden dowels, 100,000 pieces, 100 boxes marked "Order No. 04-07643"  |                 |                                    |
| 4. THIS PROPERTY WAS SEIZED BECAUSE   |                 |                                    |
| The owner attempted to import without the required CITES document.  |                 |                                    |
| THIS WAS IN VIOLATION OF 16 USC 1538(c)(1), 50CFR 23.11, 50 CFR 23.12(a)(iii)   |                 |                                    |
| 5. NAME AND ADDRESS OF APPARENT OWNER OF DESCRIBED PROPERTY   |                 |                                    |
| Henry Pattison<br>H.P. Hardwood, Inc.<br>1726 Steward Street<br>Miami, Florida 33132  |                 |                                    |
| 6. THE PROPERTY WAS APPRAISED IN ACCORDANCE WITH 7 CFR 355.32 AND THE VALUE HAS BEEN DETERMINED TO BE APPROXIMATELY   |                 |                                    |
| \$ 1,763  |                 |                                    |
| 7. Any person claiming the seized property may file with the office specified, in item 1, a claim to the property and a bond in the amount of \$250, with sureties to be approved by the Deputy Administrator, conditioned that in case of condemnation of the articles so claimed the obligor shall pay all the costs and expenses of the proceedings to obtain such condemnation. Any claim and bond must be received in such office within 20 days after posting of the notice of proposed forfeiture, and shall state claimant's interest in the property. The Deputy Administrator may extend the 20 day period with an appropriate statement on the posted notice of proposed forfeiture if necessary to allow a person deemed to have an interest in the property at least 10 days to file such a claim and bond after receipt of a notice of proposed forfeiture. |                 |                                    |
| 8. Any person having an interest in the property specified in item 1, above may file a petition for remission or mitigation of forfeiture in accordance with procedures in 7 CFR 356.7. This does not allow remission or mitigation of plants that are without documentation required under 50 CFR Chapter 1.   |                 |                                    |
| 9. NOTICE POSTED  |                 | 10. SIGNATURE OF OFFICER IN CHARGE |
| DATE<br>07/06/04  | TIME<br>1430    |                                    |
| PPQ FORM 624<br>(JAN 92)  |                 | (Previous editions may be used )   |

**PART 1 - PPQ PORT FILE**

FIGURE A-7 Example of PPQ Form 624, Notice for Seizure and Proposed Forfeiture of Property Valued at \$10,000 or Less (Part I; Parts 2 and 3 are duplicates)

## Purpose

PPQ Form 624, Notice of Seizure and Proposed Forfeiture (Part 1; Part 2 and Part 3 are duplicates), is issued for seizures valued at \$10,000 or less, and is used to notify the violator of the intended forfeiture of the violator's seized property.

## Instructions for Completing Part 1 of PPQ Form 624

For seizures valued at \$10,000 or less, complete PPQ Form 624, Part 1 (Parts 2 and 3 are duplicates of Part 1) as directed in Table A-2.

### Seizures Valued at \$10,000 or Less

TABLE A-2 Instructions for Completing Part 1 of PPQ Form 624, Notice of Seizure and Proposed Forfeiture (Parts 2 and 3 are duplicates of Part 1) (for Seizures Valued at \$10,000 or Less)

| Block    | Instructions  |
|----------|---|
| FILE NO. | ENTER the port file number (see <a href="#">Filing System for Violations, Seizures, and Forfeitures</a> )   |
| 1        | <p>The property...</p> <ol style="list-style-type: none"> <li>1. LIST the date and time CBP or PPQ determines a shipment warrants forfeiture procedure and verifies the physical location of the shipment as either in a CBP- or PPQ-owned, leased, or approved facility, or within a Customs bonded operation (seizure date)</li> <li>2. LIST the name of the port, city, and State where the seizure occurred</li> <li>3. LIST the city and State where the property is being held</li> </ol> |
| 2        | <p>DESCRIPTION OF PROPERTY</p> <ol style="list-style-type: none"> <li>1. LIST the common name of the wood the article or lumber is derived from</li> <li>2. LIST the scientific name of the wood the article is derived from</li> <li>3. LIST the quantity seized (number of pieces, cubic meters, squares meters, etc. according to commodity)</li> </ol>  |
| 3        | <p>DESCRIPTION OF PROPERTY (include any identifying numbers)</p> <ol style="list-style-type: none"> <li>1. MODIFY the block by crossing or lining out the words "OTHER THAN PLANTS"</li> <li>2. LIST a description of the article or identifying marks (order number, box markings, serial number, etc.)</li> </ol>   |
| 4        | <p>THIS PROPERTY WAS SEIZED BECAUSE</p> <p><b>EXAMPLE</b> The owner attempted to import regulated wood without the required CITES document.</p> <p>THIS WAS IN VIOLATION OF</p> <p>LIST the CFR number and USC number of the regulation violated (see <a href="#">List of Violations, Figure A-1</a>)</p>   |
| 5        | <p>NAME AND ADDRESS OF APPARENT OWNER OF DESCRIBED PROPERTY</p> <p>LIST the owner's name and the name and address of the company from which the articles or timber were seized</p>  |

**TABLE A-2 Instructions for Completing Part 1 of PPQ Form 624, Notice of Seizure and Proposed Forfeiture (*Parts 2 and 3 are duplicates of Part 1*) (for Seizures Valued at \$10,000 or Less) (continued)**

| Block |  | Instructions  |
|-------|--|---|
| 6     | THE PROPERTY WAS APPRAISED IN ACCORDANCE WITH 7CFR 355.22 AND THE VALUE HAS BEEN DETERMINED TO BE APPROXIMATELY \$ | <p>LIST the appraised value as follows:</p> <ul style="list-style-type: none"> <li>◆ If the same wood or articles as those seized are sold in the U.S., then ENTER the estimated value (of those sold) at the nearest retail store</li> <li>◆ If <b>not</b> sold in the U.S., then ENTER the invoiced amount</li> <li>◆ See <a href="#">Step 3: Estimate the Retail Value of the Timber or Articles Moving in Violation of the Legislation</a> on <a href="#">page 4-5</a></li> </ul> |
| 7     | Any person claiming the seized property...   | LEAVE as is   |
| 8     | Any person having an interest in the property...   | LEAVE as is   |
| 9     | NOTICE POSTED  | SEE the date and time entered on <i>Part 4, Worksheet, Block 7a</i>   |
|       | DATE   | LIST the date the notice was posted   |
|       | TIME   | LIST the time the notice was posted   |
| 10    | SIGNATURE OF OFFICER   | Officer-in-charge SIGNS   |

### Distribution and Retention of PPQ Form 624 (Parts 1, 2, 3)

#### Seizures Valued at \$10,000 or Less

For seizures valued at \$10,000 or less, distribute and retain PPQ Form 624, *Parts 1, 2, and 3 only*, as follows:

- ◆ File the original *Part 1* at the CBP or PPQ office where the material was seized and retain for 5 years
- ◆ Immediately post *Part 2* and keep posted for 21 days at the CBP or PPQ office, in a conspicuous place that is accessible to the public (this **must** be located at the office where the material was seized)

- ◆ If the owner signed PPQ Form 623, then distribute PPQ Form 624 as follows:
  - ❖ File the original *Part 1* of *PPQ Form 624* at the CBP or PPQ office where the material was seized
  - ❖ Immediately post *Part 2* and keep posted for 21 days at the CBP or PPQ office, in a conspicuous place that is accessible to the public (this **must** be located at the office where the material was seized)
  - ❖ Keep *Part 3* with *Part 2* (providing the owner with *Part 3* is **not** necessary)
- ◆ If the owner or owner's agent is present and **did not** sign PPQ Form 623, or is **not** present, then send *Part 3* of *PPQ Form 624*, *Notice for Seizure and Proposed Forfeiture of Property Valued at \$10,000 or Less*, by **Certified** or **Registered Mail** with **Return Receipt Requested**, together with following, to all persons believed to be owners or to have an interest in the seized material<sup>2</sup>:
  - ❖ *PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property*
  - ❖ *PPQ Form 625, Claim and Bond*
  - ❖ *PPQ Form 626, Petition for Remission or Mitigation of Forfeiture*



Important

If the owner or owner's agent is present and requests a copy of PPQ Form 624, then make a photocopy of *Part 3* and give the photocopy to the owner or owner's agent. You **must** also send the **original** *Part 3*, PPQ Form 624, to the owner or owner's agent by **Certified** or **Registered Mail** with **Return Receipt Requested** to comply with the regulations.



Important

If multiple owners or agents are identified, then you may send photocopies of the required forms in lieu of the actual forms.

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<sup>2</sup> Those that may have an interest include interested parties such as owner's agent, shipping line, or supplier. These people are identified on PPQ Form 624, *Part 4, Worksheet, Block 6*.



## PPQ Form 624, Notice of Seizure and Proposed Forfeiture (Part 4, Worksheet)

This example of *Part 4, Worksheet*, is for completing the worksheet for seizures valued at \$10,000 or less.

| U.S. DEPARTMENT OF AGRICULTURE<br>ANIMAL AND PLANT HEALTH INSPECTION SERVICE<br>PLANT PROTECTION AND QUARANTINE<br><b>NOTICE OF SEIZURE AND PROPOSED FORFEITURE</b>   |  |                                  |                 |          |          | FILE NO.<br>Miami 04-02   |          |                 |
|---|--|----------------------------------|-----------------|----------|----------|---------------------------|----------|-----------------|
| 1. The property described below was seized by the U. S. Department of Agriculture on (date) <u>07/06/04</u> at (time) <u>1330</u> at (place) <u>Pier 12, Port of Miami</u> and is now in the custody of the Officer in Charge of Plant Protection and Quarantine, at <u>Miami, Florida</u> . This property is subject to procedures relating to forfeitures in 7 CFR 356.1 - 356.9. |  |                                  |                 |          |          |                           |          |                 |
| 2. DESCRIPTION OF PROPERTY  |  |                                  |                 |          |          |                           |          |                 |
| Common Name   |  | Scientific Name                  |                 |          |          | Number of Plants or Parts |          |                 |
| Ramin   |  | Gonystylus sp.                   |                 |          |          | 1.158 cubic meters        |          |                 |
| 3. DESCRIPTION OF PROPERTY OTHER THAN PLANTS (include any identifying numbers)<br>Wooden dowels, 100,000 pieces, 100 boxes, marked: Order No. 04-07643  |  |                                  |                 |          |          |                           |          |                 |
| 4. THIS PROPERTY WAS SEIZED BECAUSE<br>The owner attempted to import without the required CITES document.   |  |                                  |                 |          |          |                           |          |                 |
| THIS WAS IN VIOLATION OF <u>16 USC 1538(c)(1), 50CFR 23.11, 50 CFR 23.12(a)(iii)</u>  |  |                                  |                 |          |          |                           |          |                 |
| 5. APPRAISED VALUE \$ <u>1,763.00</u>   |  |                                  |                 |          |          |                           |          |                 |
| BASIS OF APPRAISAL <u>Invoiced value</u>  |  |                                  |                 |          |          |                           |          |                 |
| 6. NAME OF PERSONS KNOWN TO HAVE AN INTEREST IN THE ARTICLES SEIZED   |  | INSERT DATE IN BLOCKS THAT APPLY |                 |          |          |                           |          |                 |
|   |  | PPQ 623<br>SIGNED                | PPQ 624<br>SENT | PPQ 625  |          | PPQ 626                   |          | PPQ 627<br>SENT |
|   |  |                                  |                 | Sent     | Received | Sent                      | Received |                 |
| Henry Pattison  |  | /                                | 07/06/04        | 07/06/04 | /        | 07/06/04                  | /        |                 |
|   |  |                                  |                 |          |          |                           |          |                 |
|   |  |                                  |                 |          |          |                           |          |                 |
|   |  |                                  |                 |          |          |                           |          |                 |
|   |  |                                  |                 |          |          |                           |          |                 |
|   |  |                                  |                 |          |          |                           |          |                 |
|   |  |                                  |                 |          |          |                           |          |                 |
| 7. RECORD OF STEPS COMPLETED  |  |                                  |                 | DATE     | TIME     | INITIALS                  |          |                 |
| a. PPQ 624 Posted.....  |  |                                  |                 | 07/06/04 | 1430     | LT                        |          |                 |
| b. PPQ 624 Removed (a. + 21 days).....  |  |                                  |                 | 07/27/04 | 1430     | LT                        |          |                 |
| c. Deadline for receiving PPQ <sup>625</sup> (a. + 20 days).....  |  |                                  |                 | 07/26/04 | /        | /                         |          |                 |
| d. PPQ 627 Declaration of Forfeiture prepared and sent (not before c.).....   |  |                                  |                 | 07/27/04 | 1430     | LT                        |          |                 |
| e. Property placed in custody of U.S. Dept. of Agriculture and/or U.S. Dept. of Homeland Security for final disposition according to law (not before d.).....   |  |                                  |                 | 07/27/04 | 1430     | LT                        |          |                 |
| Retain this form and copies of PPQ Forms 623, 624 (Part 1), 625, and 627 and any other documents applicable to this shipment for <u>five</u> years.   |  |                                  |                 |          |          |                           |          |                 |
| PPQ FORM 624<br>(JAN 92)  |  |                                  |                 |          |          |                           |          |                 |
| PART 4 - PPQ PORT WORKSHEET   |  |                                  |                 |          |          |                           |          |                 |

FIGURE A-8 Example of PPQ Form 624, Notice for Seizure and Proposed Forfeiture, Part 4, Worksheet (for seizures valued at \$10,000 or less)

## Purpose

PPQ Form 624, *Notice of Seizure and Proposed Forfeiture, Part 4, Worksheet*, is for seizures valued at \$10,000 or less, and is used as a worksheet to document which forms have been sent and received, who was notified, and the date the next step is to be taken.

## Instructions for Completing Part 4, Worksheet

### Seizures Valued at \$10,000 or Less

For seizures valued at \$10,000 or less, complete *Part 4, Worksheet*, PPQ Form 624, as directed in [Table A-3](#). See also ***Forfeiture Procedures for Seizures Valued at \$10,000 or Less*** on page 4-6.

TABLE A-3 Instructions for Completing PPQ Form 624, Notice of Seizure and Proposed Forfeiture, Part 4, Worksheet (for Seizures Valued at \$10,000 or Less)

| Block |  | Instructions  |
|-------|--|---|
|       | FILE NO.   | Blocks 1-4 have been filled out during the process of completing <i>Part 1</i>  |
| 1     | The property...  |   |
| 2     | DESCRIPTION OF PROPERTY                                      |   |
| 3     | DESCRIPTION OF PROPERTY OTHER THAN PLANTS                    |   |
| 4     | THIS PROPERTY WAS SEIZED BECAUSE<br>THIS WAS IN VIOLATION OF |   |
| 5     | APPRAISED VALUE \$   | LIST the appraised value of the seizure from <i>Part 1, Block 6</i>   |
|       | BASIS OF APPRAISAL   | LIST the source of the appraised value (see <a href="#">Step 3: Estimate the Retail Value of the Timber or Articles Moving in Violation of the Legislation</a> on page 4-5) |

**TABLE A-3 Instructions for Completing PPQ Form 624, Notice of Seizure and Proposed Forfeiture, Part 4, Worksheet (for Seizures Valued at \$10,000 or Less) (continued)**

| Block |  | Instructions   |
|-------|--|--|
| 6     | NAME OF PERSONS KNOWN TO HAVE AN INTEREST IN THE ARTICLE SEIZED  | LIST the names of all persons believed to be owners or to have an interest in the seized material  |
|       | <b>INSERT DATE IN BLOCKS THAT APPLY</b>  |  |
|       | PPQ 623 SIGNED   | If PPQ Form 623 is signed by the violator, then ENTER the date signed; otherwise leave blank   |
|       | PPQ 624 SENT   | If PPQ Form 624 was sent to the violator, then ENTER the date sent; otherwise leave blank  |
|       | PPQ 625 SENT/RECEIVED  | 1. If PPQ Form 625 was sent to the violator, then ENTER the date sent<br>2. If PPQ Form 625 was signed and received (returned) from the violator, then ENTER the date; otherwise leave blank                                       |
|       | PPQ 626 SENT/RECEIVED  | If PPQ Form 626 was sent to the violator, then ENTER the date sent; if signed and received from the violator, then ENTER the date received; otherwise leave blank  |
|       | PPQ 627 SENT   | If PPQ Form 627 was sent to the violator, then ENTER the date sent; otherwise leave blank  |
| 7     | <b>RECORD OF STEPS COMPLETED</b>   |  |
|       | a. PPQ 624 Posted  | In the corresponding blocks, LIST the date and time PPQ Form 624 was posted and initial  |
|       | b. PPQ 624 Removed (a + 21 days)   | In the corresponding blocks, LIST the date and time PPQ Form 624 was removed and initial   |
|       | c. Deadline for receiving PPQ 626 (a + 20 days)  | 1. MODIFY this block by crossing out or lining out "626" and adding "625"<br>2. LIST the deadline that the completed PPQ Form 625 <b>must</b> be received from the violator  |
|       | d. PPQ Form 627 Declaration of Forfeiture prepared and sent ( <b>not</b> before c)   | In the corresponding blocks, LIST the date and time PPQ form 627 was prepared and sent   |
|       | e. Property placed in custody of the Department of the Interior  | 1. MODIFY this block by crossing out or lining out the word "Interior" and replacing with the words "Agriculture and/or U.S. Dept. of Homeland Security"<br>2. LIST the date the property was placed in the custody of CBP or USDA |
|       | Retain this form and copies of PPQ Form 623, 624 (Part 2 and 4), 625, 626, and 627 and any other documents applicable to this shipment for two years | MODIFY this block by crossing out or lining out the word "two" and adding the word "five"  |

### Distribution and Retention of PPQ Form 624, Part 4, Worksheet

#### Seizures Valued at \$10,000 or Less

For seizures valued at \$10,000 or less, distribute and retain *Part 4, Worksheet*, of PPQ Form 624 as follows:

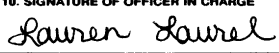
1. Make a copy of the completed *Part 4, Worksheet*, **only** and forward the copy to the following address:

National CITES Coordinator  
USDA-APHIS-PPQ  
4700 River Road, Unit 52, 4D-04.20  
Riverdale, MD 20737-1236

2. File the completed *Part 4, Worksheet*, along with *Part 1* and retain for 5 years.

## Modified PPQ Form 624, Notice of Seizure (Part 1)

The following example is the modified PPQ Form 624, Notice of Seizure, for seizures valued greater than \$10,000.

|  |                              |   |
|--|------------------------------|---|
| U.S. DEPARTMENT OF AGRICULTURE<br>ANIMAL AND PLANT HEALTH INSPECTION SERVICE<br>PLANT PROTECTION AND QUARANTINE  |                              | FILE NO.<br>Miami 04-02   |
| <b>NOTICE OF SEIZURE AND PROPOSED FORFEITURE</b>   |                              |   |
| 1. The property described below was seized by the U. S. Department of Agriculture on (date) <b>7-7-04</b> at (time) <b>1030</b> at (place) <b>Port of Miami</b> and is now in the custody of the Officer in Charge of Plant Protection and Quarantine, at <b>Miami, Florida</b> . This property is subject to procedures relating to forfeitures in 7 CFR 356.1 - 356.9.   |                              |   |
| <b>2. DESCRIPTION OF PROPERTY</b>  |                              |   |
| Common Name  | Scientific Name              | Number of Plants or Parts   |
| <b>Bigleaf mahogany</b>  | <i>Swietenia macrophylla</i> | <b>15.2 cubic meters</b>  |
| 3. DESCRIPTION OF PROPERTY OTHER THAN PLANTS. (Include any identifying numbers)  |                              |   |
| Dimension mahogany lumber; 8 bundles are stenciled with "ITT" (International Tropical Timber) in red on the end grain. Bill of lading MOLU-6758326-A-02  |                              |   |
| 4. THIS PROPERTY WAS SEIZED BECAUSE<br>The owner attempted to import without the required CITES document   |                              |   |
| THIS WAS IN VIOLATION OF <b>16 USC 1538(c)(1) 50CFR 23.12(a)(3)</b>  |                              |   |
| 5. NAME AND ADDRESS OF APPARENT OWNER OF DESCRIBED PROPERTY<br><b>Frederick Hartman<br/>         International Tropical Timber (ITT)<br/>         2735 Wood Lane<br/>         Miami, Florida 33312</b>   |                              |   |
| 6. THE PROPERTY WAS APPRAISED IN ACCORDANCE WITH 7 CFR 355.32 AND THE VALUE HAS BEEN DETERMINED TO BE APPROXIMATELY<br><b>\$ 14,700</b>  |                              |   |
| <del>7. Any person claiming the seized property may file with the office specified, in item 1, a claim to the property and a bond in the amount of \$250, with sureties to be approved by the Deputy Administrator, conditioned that in case of condemnation of the articles so claimed the obligor shall pay all the costs and expenses of the proceedings to obtain such condemnation. Any claim and bond must be received in such office within 20 days after posting of the notice of proposed forfeiture, and shall state claimant's interest in the property. The Deputy Administrator may extend the 20 day period with an appropriate statement on the posted notice of proposed forfeiture if necessary to allow a person deemed to have an interest in the property at least 10 days to file such a claim and bond after receipt of a notice of proposed forfeiture.</del> |                              |   |
| 7. Any person having an interest in the property specified in item 1, above may file a petition for remission or mitigation of forfeiture in accordance with procedures in 7 CFR 356.7. This does not allow remission or mitigation of plants that are without documentation required under 50 CFR Chapter 1.  |                              |   |
| 8. The Animal and Plant Health Inspection Service shall take appropriate action in accordance with CFR Part 356 and the Civil Asset Forfeiture Reform Act of 2000.   |                              |   |
| 9. NOTICE POSTED<br>DATE <b>7-7-04</b> TIME <b>1045</b>  |                              | 10. SIGNATURE OF OFFICER IN CHARGE<br> |
| PPQ FORM 624 (JAN 92)  |                              | (Previous editions may be used.)  |

**PART 1 - PPQ PORT FILE**

FIGURE A-9 Example of Modified PPQ Form 624, Notice for Seizure  
(for seizures valued greater than \$10,000)

## Purpose

PPQ Form 624, *Notice of Seizure and Forfeiture*, is modified to “Notice of Seizure” for seizures valued greater than \$10,000. The modified PPQ Form 624 is used to notify the violator of the intended forfeiture of the violator’s seized property.

## Instructions for Modifying and Completing Part 1

### Seizures Valued Greater than \$10,000

For seizures valued greater than \$10,000, see **Table A-4** to modify and complete the form. (See ***Forfeiture Procedures for Seizures Valued Greater than \$10,000*** on page 4-8 for detailed instructions.)

**TABLE A-4** Instructions for Completing Modified PPQ Form 624, Notice of Seizure, Part 1 (Parts 2 and 3 are duplicates)  
(for Seizures Valued Greater than \$10,000)

| Block                                     |   | Instructions   |
|---|---|--|
| NOTICE OF SEIZURE AND PROPOSED FORFEITURE |   | MODIFY the form’s title by crossing out or lining out the words “AND PROPOSED FORFEITURE”  |
|   | FILE NO.  | ENTER the port file number (see <b><i>Filing System for Violations, Seizures, and Forfeitures</i></b> )  |
| 1   | The property...   | <ol style="list-style-type: none"> <li>1. LIST the date and time CBP or PPQ determines the shipment warrants forfeiture procedure and verifies the physical location of the shipment as either in a CBP- or PPQ-owned, leased, or approved facility, or within a Customs bonded operation (seizure date)</li> <li>2. ENTER the name of the place and the city and State where the seizure occurred</li> <li>3. ENTER the city and State where the seized property is held</li> </ol> |
| 2   | DESCRIPTION OF PROPERTY                                   | <ol style="list-style-type: none"> <li>1. ENTER the common name of the wood the article or lumber is derived from</li> <li>2. ENTER the scientific name of the wood the article is derived from</li> <li>3. ENTER the quantity seized (number of pieces, cubic meters, squares meters, etc. according to commodity)</li> </ol>   |
| 3   | DESCRIPTION OF PROPERTY (include any identifying numbers) | ENTER a description of the article or identifying marks (order number, box markings, serial number, etc.)  |
| 4   | THIS PROPERTY WAS SEIZED BECAUSE                          | ENTER a description of the violation<br><br><b>EXAMPLE</b> The owner attempted to import regulated wood without the required CITES document.   |
|   | THIS WAS IN VIOLATION OF                                  | ENTER the CFR section and USC section of the regulation violated (see <b><i>List of Violations, Figure A-1</i></b> )   |

**TABLE A-4 Instructions for Completing Modified PPQ Form 624, Notice of Seizure, Part 1 (Parts 2 and 3 are duplicates)  
(for Seizures Valued Greater than \$10,000) (continued)**

| Block   |   | Instructions   |
|---------|---|--|
| 5       | NAME AND ADDRESS OF APPARENT OWNER OF DESCRIBED PROPERTY  | LIST the owner's name, and the name and address of the company the articles or timber were seized from   |
| 6       | THE PROPERTY WAS APPRAISED IN ACCORDANCE WITH 7CFR 355.22 AND THE VALUE HAS BEEN DETERMINED TO BE APPROXIMATELY | <p>ENTER the appraised value as follows:</p> <ul style="list-style-type: none"> <li>◆ If the same wood or articles as those seized are sold in the U.S., then list the estimated value (of those sold) at the nearest retail store</li> <li>◆ If <b>not</b> sold in the U.S., then list the invoiced amount</li> </ul> <p>See <a href="#">Step 3: Estimate the Retail Value of the Timber or Articles Moving in Violation of the Legislation</a> on page 4-5</p> |
| 7 (OLD) | Any person...   | MODIFY this block by crossing out or lining out the number 7 and all text in the block   |
| 8 (OLD) | ANY PERSON HAVING AN INTEREST IN THE PROPERTY SPECIFIED IN  | MODIFY this block by crossing out or lining out the number 8 and adding the number 7 (old <i>Block 8</i> becomes new <i>Block 7</i> )  |
| 8 (NEW) |   | <p>ADD the following new block number and text:</p> <p>8. The Animal and Plant Health Inspection Service shall take appropriate action in accordance with CFR Part 356 and the Civil Asset Forfeiture Reform Act of 2000.</p>  |
| 9       | NOTICE POSTED   | MODIFY this block by crossing out or lining out the words "NOTICE POSTED"  |
|         | DATE  | Officer-in-charge ENTERS the date and the time <i>Block 10</i> is signed   |
| 10      | SIGNATURE OF OFFICER IN CHARGE  | Officer-in-charge SIGNS this block   |

## Distribution and Retention of Modified PPQ Form 624, Notice of Seizure, Parts 1, 2, and 3

### Seizures Valued Greater than \$10,000

For seizures valued greater than \$10,000, distribute and retain the modified PPQ Form 624 as listed below (see **Forfeiture Procedures for Seizures Valued Greater than \$10,000** on page 4-8 for more information):

1. Assemble the following documents:

- ❖ Modified PPQ Form 624, *Part 1 original* and a photocopy of modified *PPQ Form 624, Part 4, Worksheet*
- ❖ CPB Agriculture Specialist's, PPQ Plant Health Safeguarding Specialist's, or PPQ Export Certification Specialist's (your) narrative report **original**
- ❖ Correspondence or documents that accompanied the shipment

Send (using **overnight shipment** for next day delivery) to the following address:

National CITES Coordinator  
USDA-APHIS-PPQ  
4700 River Road, Unit 52, 4D-04.20  
Riverdale, MD 20737-1236

2. Send by **Certified or Registered Mail with Return Receipt Requested**, the following forms to all persons believed to be owners or to have an interest in the seized material<sup>3</sup>:

- ❖ Modified PPQ Form 624, *Part 3*
- ❖ *PPQ Form 626, Petition for Remission or Mitigation of Forfeiture*



If multiple owners or agents are identified, then you may send photocopies of the required forms in lieu of the actual forms.

3. File the modified PPQ Form 624, *Part 2* and *Part 4, Worksheet, original* in the port files and retain for 5 years.



If the owner or owner's agent is present and requests a copy of the Modified PPQ Form 624, then make a photocopy of *Part 3* and give the photocopy to the owner or owner's agent. You **must** also send the **original** *Part 3* of PPQ Form 624 to the owner or owner's agent by **Certified or Registered Mail with Return Receipt Requested** to comply with the regulations.

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<sup>3</sup> Those that may have an interest include interested parties such as the owner's agent, shipping line, or supplier. These people are identified on the Modified PPQ Form 624, *Part 4, Worksheet, Block 6*.



## Modified PPQ Form 624, Notice of Seizure (Part 4, Worksheet)

The following example of the modified PPQ Form 624, Notice of Seizure, *Part 4, Worksheet* is for seizures valued greater than \$10,000.

|  |                                  |                           |         |          |         |             |              |          |
|--|----------------------------------|---------------------------|---------|----------|---------|-------------|--------------|----------|
| U.S. DEPARTMENT OF AGRICULTURE<br>ANIMAL AND PLANT HEALTH INSPECTION SERVICE<br>PLANT PROTECTION AND QUARANTINE  |                                  | FILE NO.<br>Miami 04-02   |         |          |         |             |              |          |
| <b>NOTICE OF SEIZURE AND PROPOSED FORFEITURE</b>   |                                  |                           |         |          |         |             |              |          |
| 1. The property described below was seized by the U. S. Department of Agriculture on (date) <b>7-7-04</b> at (time) <b>1030</b> at (place) <b>Port of Miami</b> and is now in the custody of the Officer in Charge of Plant Protection and Quarantine, at <b>Miami, Florida</b> . This property is subject to procedures relating to forfeitures in 7 CFR 356.1 - 356.9. |                                  |                           |         |          |         |             |              |          |
| 2. DESCRIPTION OF PROPERTY   |                                  |                           |         |          |         |             |              |          |
| Common Name  | Scientific Name                  | Number of Plants or Parts |         |          |         |             |              |          |
| Bigleaf mahogany   | <i>Swietenia macrophylla</i>     | 15.2 cubic meters         |         |          |         |             |              |          |
| 3. DESCRIPTION OF PROPERTY OTHER THAN PLANTS. (Include any identifying numbers)  |                                  |                           |         |          |         |             |              |          |
| Dimension mahogany lumber; 8 bundles are stenciled with "ITT" (International Tropical Timber) in red on the end grain. Bill of lading MOLU-6758326-A-02  |                                  |                           |         |          |         |             |              |          |
| 4. THIS PROPERTY WAS SEIZED BECAUSE  |                                  |                           |         |          |         |             |              |          |
| The owner attempted to import without the required CITES document  |                                  |                           |         |          |         |             |              |          |
| THIS WAS IN VIOLATION OF 16 USC 1538(c)(1) 50CFR 23.12(a)(3)   |                                  |                           |         |          |         |             |              |          |
| 5. APPRAISED VALUE <b>\$ 14,700</b>  |                                  |                           |         |          |         |             |              |          |
| BASIS OF APPRAISAL <b>Retail value</b>   |                                  |                           |         |          |         |             |              |          |
| 6.   | INSERT DATE IN BLOCKS THAT APPLY |                           |         |          |         |             |              |          |
| NAME OF PERSONS KNOWN TO HAVE AN INTEREST IN THE ARTICLES SEIZED   | PPQ 623 SIGNED                   | PPQ 624 SENT              | PPQ 625 |          | PPQ 626 |             | PPQ 627 SENT |          |
|  |                                  |                           | Sent    | Received | Sent    | Received    |              |          |
| Frederick Hartman  |                                  | 7-7-04                    |         |          | 7-7-04  |             |              |          |
|  |                                  |                           |         |          |         |             |              |          |
|  |                                  |                           |         |          |         |             |              |          |
|  |                                  |                           |         |          |         |             |              |          |
|  |                                  |                           |         |          |         |             |              |          |
|  |                                  |                           |         |          |         |             |              |          |
|  |                                  |                           |         |          |         |             |              |          |
| 7. RECORD OF STEPS COMPLETED   |                                  |                           |         |          |         |             |              |          |
|  |                                  |                           |         |          |         | DATE        | TIME         | INITIALS |
| a. PPQ 624 Posted.....   |                                  |                           |         |          |         |             |              |          |
| b. PPQ 624 Removed (a. + 21 days).....   |                                  |                           |         |          |         |             |              |          |
| c. Deadline for receiving PPQ <del>625</del> <b>625</b> (a. + 20 days).....  |                                  |                           |         |          |         |             |              |          |
| d. PPQ 627 Declaration of Forfeiture prepared and sent (not before c.).....  |                                  |                           |         |          |         |             |              |          |
| e. Property placed in custody of U.S. Dept. of Interior for final disposition according to law (not before d.).....  |                                  |                           |         |          |         |             |              |          |
|  |                                  |                           |         |          |         | <b>five</b> |              |          |
| Retain this form and copies of PPQ Forms 623, 624 (Part 1), 625, and 627 and any other documents applicable to this shipment for <b>five</b> years.  |                                  |                           |         |          |         |             |              |          |
| PPQ FORM 624<br>(JAN 92)   |                                  |                           |         |          |         |             |              |          |
| <b>PART 4 - PPQ PORT WORKSHEET</b>   |                                  |                           |         |          |         |             |              |          |

FIGURE A-10 Example of PPQ Form 624, Notice of Seizure (Part 4, Worksheet) (for seizures valued greater than \$10,000)

## Purpose

The modified *PPQ Form 624, Notice of Seizure, Part 4*, is a worksheet for seizures valued greater than \$10,000, and to have document the seizure's appraised value and appraisal source, which forms have been sent and received, and who was notified.

## Instructions for Completing Modified Part 4, Worksheet

### Seizures Valued Greater than \$10,000

Complete the Modified PPQ Form 624, *Part 4, Worksheet*, as shown in [Table A-5](#).

**TABLE A-5 Instructions for PPQ Form 624, Notice for Seizure, *Part 4, Worksheet* (for seizures valued greater than \$10,000)**

| Block                |   | Instructions  |
|----------------------|---|---|
| NOTICE OF SEIZURE... |   | VERIFY the form's title has been modified to "Notice of Seizure"  |
| FILE NO.             |   | VERIFY <i>Blocks 1</i> through <i>4</i> of <i>Part 4</i> are already filled in (during the process of completing <i>Part 1</i> )  |
| 1                    | The property...   |   |
| 2                    | DESCRIPTION OF PROPERTY   |   |
| 3                    | DESCRIPTION OF PROPERTY...                                      |   |
| 4                    | THIS PROPERTY WAS SEIZED BECAUSE<br>THIS WAS IN VIOLATION OF    |   |
| 5                    | APPRAISED VALUE   | LIST the appraised value from <i>Block 6</i> of <i>Part 1</i>   |
|                      | BASIS OF APPRAISAL  | LIST the source of the appraisal (see <a href="#">Step 3: Estimate the Retail Value of the Timber or Articles Moving in Violation of the Legislation</a> on <b>page 4-5</b> ) |
| 6                    | NAME OF PERSONS KNOWN TO HAVE AN INTEREST IN THE ARTICLE SEIZED | LIST the names of all persons believed to be owners or to have an interest in the seized material   |
|                      | <b>INSERT DATE IN BLOCKS THAT APPLY</b>                         |   |
|                      | PPQ 623 SIGNED  | <b>Not</b> applicable; LEAVE blank  |
|                      | PPQ 624 SENT  | LIST the date mailed  |
|                      | PPQ 625 SENT/RECEIVED   | <b>Not</b> applicable; LEAVE blank  |
|                      | PPQ 626 SENT/RECEIVED   | LIST the date sent to and received from violator  |
|                      | PPQ 627 SENT  | <b>Not</b> applicable; LEAVE blank  |

**TABLE A-5 Instructions for PPQ Form 624, Notice for Seizure, *Part 4, Worksheet* (for seizures valued greater than \$10,000) (continued)**

| Block   | Instructions   |
|---|--|
| 7   | RECORD OF STEPS COMPLETED  |
| a. PPQ 624 Posted   | LEAVE blank  |
| b. PPQ 624 Removed (a + 20 days)  | LEAVE blank  |
| c. Deadline for receiving PPQ 626 (a + 20 days)   | MODIFY this block by crossing out "626" and adding "625"; leave remainder blank            |
| d. PPQ Form 627 Declaration of Forfeiture prepared and sent ( <b>not</b> before c.)   | LEAVE blank  |
| e. Property placed in custody of CBP or USDA  | LEAVE blank  |
| Retain this form and copies of PPQ Form 623, 624 (Part 1), 625, and 627 and any other documents applicable to this shipment for two years | MODIFY this statement by crossing out or lining out the word "two" and add the word "five" |

### Distribution and Retention of Modified PPQ Form 624, Part 4, Worksheet

#### Seizures Valued Greater Than \$10,000

For seizures valued greater than \$10,000, distribute and retain the modified PPQ Form 624, *Part 4, Worksheet*, as follows:

1. Make a copy of the modified *Part 4, Worksheet*.
2. Assemble the following documents:
  - ❖ Modified PPQ Form 624, *Part 4, Worksheet*, **copy** and **Part 1 original**
  - ❖ Narrative report **original** from CPB Agriculture Specialist, PPQ Plant Health Safeguarding Specialist, or PPQ Export Certification Specialist
  - ❖ Corresponding documents that accompanied the shipment
3. Send (using **overnight** shipment for next day delivery) to the National CITES Coordinator at the following address:
 

National CITES Coordinator  
USDA-APHIS-PPQ  
4700 River Road, Unit 52, 4D-04.20  
Riverdale, MD 20737-1236
4. File the **original** *Part 4, Worksheet*, along with *Part 2* of PPQ Form 624 in the port file and retain for 5 years.

**FIGURE A-11 Example of PPQ Form 625, Claim and Bond**

## Purpose

*PPQ form 625, Claim and Bond*, is used for seizures valued at \$10,000 or less as part of a legal process in which the owner of the seized property attempts to regain custody of the property.



A bonded release will **not** be made if such an action would frustrate the purpose of the Act or Convention. As an example, 7CFR 356 **does not** allow the release of CITES regulated plants that are without the documentation required under 50CFR Chapter I.

## Instructions

The PPQ Plant Health Safeguarding Specialist or PPQ Export Certification Specialist lists the Port file number in the block titled "FILE NO." **Do not** complete any other blocks on this form.

If the owner decides to file a Claim and Bond, then the owner will complete the form.

## Distribution of PPQ Form 625

### Seizures Valued at \$10,000 or Less

If the owner or owner's agent signs PPQ Form 623, then PPQ Form 625 is **not** sent.

If the owner or owner's agent is present and will **not** sign PPQ Form 623 or is **not** present, then send *PPQ Form 625, Claim and Bond*, together with the following documents, by **Certified or Registered Mail with Return Receipt Requested** to the owner or owner's agent at the last known address:

- ◆ *PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property*
- ◆ *Part 3 of PPQ Form 624, Notice of Seizure and Proposed Forfeiture*
- ◆ *PPQ Form 626, Petition for Remission or Mitigation of Forfeiture*



If multiple owners or agents are identified, then you may send photocopies of the required forms in lieu of the actual forms.

**FIGURE A-12 Example of PPQ Form 626, Petition for Remission or Mitigation of Forfeiture**

## Purpose

*PPQ Form 626, Petition for Remission or Mitigation of Forfeiture*, can be used by the owner or owner's agent in the process of attempting to have the Deputy Administrator grant relief of the forfeited property. This form is used for violations of seizures valued at \$10,000 or less, and for violations of seizures valued greater than \$10,000.



Remission and mitigation will **not** be made if such an action would frustrate the purpose of the Act or Convention. As an example, 7CFR 356 **does not** allow for remission or mitigation with respect to CITES regulated plants that are without the documentation required under 50CFR Chapter I.

## Instructions

The CPB Agriculture Specialist, PPQ Plant Health Safeguarding Specialist, or PPQ Export Certification Specialist lists the Port file number in the block labeled *FILE NO.* **Do not** complete any remaining blocks on this form. (If the owner decides to file the petition, then the owner completes the form.)

## Distribution of PPQ Form 626

### Seizures Valued at \$10,000 or Less

For seizures valued at \$10,000 or less, if the owner signs PPQ Form 623, then PPQ Form 626 is **not** sent.

If the owner or owner's agent is present and **did not** sign PPQ Form 623 or is **not** present, then the The CPB Agriculture Specialist, PPQ Plant Health Safeguarding Specialist, or PPQ Export Certification Specialist will send **PPQ Form 626, Petition for Remission or Mitigation of Forfeiture** together with the following documents, by **Certified or Registered Mail with Return Receipt Requested** to all persons believed to be owners or agents:

- ◆ *PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property*
- ◆ *PPQ Form 624, Notice of Seizure and Proposed Forfeiture, Part 3*
- ◆ *PPQ Form 625, Claim and Bond*

Keep or make a copy for the port file prior to sending.



If multiple owners or agents are identified, then you may send photocopies of the identified forms in lieu of the actual forms or blocks.

### Seizures Valued Greater than \$10,000

For seizures valued greater than \$10,000, the CPB Agriculture Specialist, PPQ Plant Health Safeguarding Specialist, or PPQ Export Certification Specialist will send *PPQ Form 626, Petition for Mitigation of Forfeiture*, together with the modified *PPQ Form 624, Notice of Seizure and Proposed Forfeiture, Part 3*, by **Certified or Registered Mail with Return Receipt Requested** to all persons believed to be owners or agents at the last known address.



If multiple owners or agents are identified, then you may send photocopies of the identified forms in lieu of the actual forms or blocks.



## PPQ Form 627, Declaration of Forfeiture

This example below is for seizures valued at \$10,000 or less.

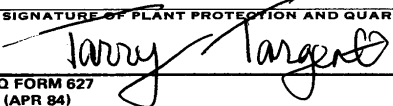
|   |                       |                                |
|---|-----------------------|--------------------------------|
| U. S. DEPARTMENT OF AGRICULTURE<br>ANIMAL AND PLANT HEALTH INSPECTION SERVICE<br>PLANT PROTECTION AND QUARANTINE<br><b>DECLARATION OF FORFEITURE</b>  |                       | FILE NO.<br><b>Miami 04-02</b> |
| 1. The property described below was seized by the U. S. Department of Agriculture on (date) <b>07/06/04</b> at (time) <b>1330</b> at (place) <b>Pier 12, Port of Miami</b> and is now in the custody of the Officer in Charge of Plant Protection and Quarantine, at <b>Miami, Florida</b> . This property is subject to procedures relating to forfeitures in 7 CFR 356.1 - 356.9. |                       |                                |
| <b>2. DESCRIPTION OF PROPERTY</b>   |                       |                                |
| Common Name   | Scientific Name       | Number of Plants or Parts      |
| <b>Ramin</b>  | <b>Gonystylus sp.</b> | <b>1.158 cubic meters</b>      |
| 3. DESCRIPTION OF PROPERTY OTHER THAN PLANTS (Include any identifying numbers)<br><b>Wooden dowels, 100,000 pieces, 100 boxes, marked: Order No. 04-07643</b>   |                       |                                |
| 4. THIS PROPERTY WAS SEIZED BECAUSE<br><b>The owner attempted to import without the required CITES document.</b><br>THIS WAS IN VIOLATION OF <b>16 USC 1538(c)(1), 50CFR 23.11, 50 CFR 23.12(a)(iii)</b>  |                       |                                |
| 5. A NOTICE OF SEIZURE AND PROPOSED FORFEITURE WAS POSTED AT THE PLANT PROTECTION AND QUARANTINE OFFICE<br>AT (location) <b>Miami, Florida</b> FROM (date & time) <b>07/06/04 1430</b><br>TO (date & time) <b>07/27/04 1430</b>   |                       |                                |
| 6. COPIES OF THE NOTICE WERE MAILED OR HANDED TO THE FOLLOWING PERSONS (Show alleged interest in seized property)<br><b>Henry Pattison, Owner, H.P. Hardwood, Inc.</b>  |                       |                                |
| 7. In response to the above stated notice, no proper claim and bond were received within the 20 days specified in 7 CFR 356.4(c)(2). Therefore, all potential claimants are deemed to admit the truth of the allegations of the notice.   |                       |                                |
| 8. The above described property is hereby ordered condemned and is forfeited to the United States of America for disposition according to law.  |                       |                                |
| 9. SIGNATURE OF PLANT PROTECTION AND QUARANTINE OFFICER<br>  |                       | 10. DATE<br><b>07/27/04</b>    |
| PPQ FORM 627<br>(APR 84)  |                       | PART 1 - PPQ PORT FILE         |

FIGURE A-13 Example of PPQ Form 627, Declaration of Forfeiture (for forfeitures valued at \$10,000 or less)

## Purpose

PPQ Form 627, Declaration of Forfeiture, is used to take custody of seized material that is valued at \$10,000 or less.

## Instructions

### Forfeitures Valued at \$10,000 or Less

For forfeitures valued at \$10,000 or less, complete PPQ Form 627 as instructed in **Table A-6**.

**TABLE A-6 Instructions for Completing PPQ Form 627, Declaration of Forfeiture**

| Block |  | Instructions  |
|-------|--|---|
|       | FILE NO.   | LIST the port file number<br>(see <a href="#">Filing System for Violations, Seizures, and Forfeitures</a> )   |
| 1     | The property...  | LIST in the appropriate blanks the date, time, place, city, and State where the property was seized   |
| 2     | DESCRIPTION OF PROPERTY  |   |
|       | Common Name  | LIST the common name of the article/wood seized   |
|       | Scientific Name  | LIST the scientific name of the article/wood seized   |
|       | Number of Plants or Parts  | LIST the number of plants or parts seized<br>(see <a href="#">Conversion Formulas</a> )   |
| 3     | DESCRIPTION OF PROPERTY...   | 1. MODIFY this block by crossing out or lining out the words "OTHER THAN PLANTS"<br>2. DESCRIBE the article seized  |
| 4     | THIS PROPERTY WAS SEIZED BECAUSE   | LIST the reasons the articles were seized   |
|       | THIS WAS IN VIOLATION OF   | LIST the CFR section and USC section of the regulation violated<br>(see <a href="#">List of Violations</a> on <a href="#">page A-6</a> , <a href="#">Figure A-1</a> ) |
| 5     | A NOTICE OF SEIZURE AND PROPOSED FORFEITURE WAS POSTED AT THE PLANT PROTECTION AND QUARANTINE OFFICE | LIST the location the notice was posted   |
|       | AT   | LIST the location the notice was posted (city, State)   |
|       | FROM   | LIST the date and time the notice was posted  |
|       | TO   | LIST the date and time the notice was removed   |

**TABLE A-6 Instructions for Completing PPQ Form 627, Declaration of Forfeiture (continued)**

| Block |   | Instructions  |
|-------|---|---|
| 6     | COPIES OF THE NOTICE WERE MAILED OR HANDED TO THE FOLLOWING PERSONS | 1. LIST each person's name, interest in property, and business name that copies of the notice were mailed or given to<br><br>2. If the owner or owner's agent requests a copy of PPQ Form 627, then <b>MAKE</b> a photocopy and <b>GIVE</b> the owner or owner's agent the photocopy. You <b>must</b> also send the owner or owner's agent the <b>original</b> PPQ Form 627 by <b>Certified or Registered Mail with Return Receipt Requested</b> to comply with regulations |
| 7     | In response....   | LEAVE blank; <b>do not</b> write in this block  |
| 8     | The above...  | LEAVE blank; <b>do not</b> write in this block  |
| 9     | SIGNATURE OF PLANT PROTECTION AND QUARANTINE OFFICER                | CBP Agriculture Specialist, PPQ Plant Health Safeguarding Specialist, or PPQ Agriculture Specialist signs this block  |
| 10    | Date  | LIST the date signed  |

### Distribution and Retention of PPQ Form 627

After 21 days, distribute and retain PPQ Form 627 as follows:

- ◆ File *Part 1* in the port file and retain for 5 years
- ◆ Send *Part 2* and *Part 3* by **Certified or Registered Mail with Return Receipt Requested**, to the owner or owners of the seized material at their last known address



If the owner or owner's agent requests a copy of PPQ Form 627, then make a photocopy and give the owner or owner's agent the photocopy. You **must** also send the **original Parts 2 and 3** to the owner or owner's agent by **Certified or Registered Mail with Return Receipt Requested**, to comply with regulations.



If multiple owners or agents are identified, then you may send photocopies of the identified forms in lieu of the actual forms or blocks.





# Appendix B

## *Resolutions of CITES Conference of the Parties*

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### Contents

Introduction **page B-1**  
Conference Resolution 10.13 Implementation of the Convention for Timber Species **page B-1**  
    Addendum to Conference Resolution 10.13 **page B-3**  
Conference Resolution 12.3, Permits and Certificates **page B-4**  
    Annex 1, Information that Should Be Included in CITES Permits and Certificates **page B-16**  
    Annex 2, Standard CITES Form **page B-17**

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### Introduction

This appendix contains the text of two current CITES Conference Resolutions which apply to CITES Appendix I, Appendix II, and Appendix III protected timber species. The CITES Conference is a biennial gathering of CITES member countries where the members review how a treaty is working, resolve policy issues, and determine which lists of species need amending.

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### Conference Resolution 10.13 Implementation of the Convention for Timber Species

An excerpt from Conference Resolution 10.13, Implementation of the Convention for Timber Species, is shown in **Figure B-1**. To view all CITES Conference Resolutions, go to the Web site <http://www.cites.org/eng/res/index.shtml>.

**Regarding parts and derivatives**

c) the following definitions be applied with respect to annotations in the CITES Appendices:

i) Logs

All wood in the rough, whether or not stripped of bark or sapwood, or roughly squared, for processing notably into sawn wood, pulpwood or veneer sheets (HS code 44.03);

ii) Sawn wood

Wood simply sawn lengthwise or produced by a profile-chipping process. Sawn wood normally exceeds 6mm in thickness (HS code 44.06, HS code 44.07); and

iii) Veneer sheets

Thin layers or sheets of wood of uniform thickness, usually 6 mm or less, usually peeled or sliced, for use in making plywood, for veneering furniture, veneer containers, etc. (HS code 44.08); and

d) for the purpose of annotations to the Appendices for parts and derivatives of species traded as timber, definitions to be used should, to the extent possible, be based on the tariff classifications of the Harmonized System of the World Customs Organization;

[See [Addendum to Conference Resolution 10.13](#) on [page B-3](#)]

**Regarding amendment proposals for timber species**

e) proposals for the inclusion of timber species in Appendix II or III indicate clearly which parts and derivatives should be regulated; and

f) where these parts and derivatives are not logs, sawn wood and veneer sheets, the proponent also propose the relevant amendment to Resolution Conf. 12.3 if the procedures for extending the period of validity of, and/or changing the destination on, the export permit or re-export certificate should apply;

**Regarding the definition of artificially propagated**

g) timber taken from trees grown in monospecific plantations be considered as being artificially propagated in accordance with the definition contained in Resolution Conf. 11.11

**FIGURE B-1 Excerpt from CITES Conference Resolution 10.13, Implementation of the Convention for Timber Species**

## Addendum to Conference Resolution 10.13

The definition and applicable HS codes for plywood listed in **Figure B-2** were proposed and accepted by the Convention and will be included as an addendum to Conference Resolution 10.13.

Plywood is defined as:

consisting of three or more sheets of wood glued and pressed one on the other and generally disposed so that the grains of successive layers are at an angle.

| SUB-CODE | PRODUCT DESCRIPTION   |
|----------|---|
| 4412.13  | Plywood consisting solely of sheets of wood, each ply not exceeding 6 mm in thickness, and with at least one outer ply of tropical wood specified in subheading note 1 to this chapter*                                   |
| 4412.14  | Plywood consisting solely of sheets of wood, each ply not exceeding 6 mm in thickness, and with at least one outer ply of non-coniferous wood   |
| 4412.22  | Other (meaning one ply, or more, that is greater than 6 mm in thickness), with at least one outer ply of non-coniferous wood, and with at least one ply of tropical wood specified in subheading note 1 to this chapter * |

\*Subheading Note 1: For the purposes of subheadings 4403.41 to 443.49, 4407.24 to 440729, 4408.31 to 4408.39, and 4412.13 to 4412.99, the expression tropical wood means one of the following types of wood: Abura, Acajou d'Afrique, Afrormosia, Ako, Alan, Andiroba, Aningre, Avodire, Azobe, Balau, Balsa, Bosse Clair, Bosse Fonce, Cativo, Cedro, Dabema, Dark Red Meranti, Dibetou, Doussie, Framire, Freijo, Fromager, Fuma, Geronggang, Ilomba, Imbuia, Ipe, Iroko, Jaboty, Jelutong, Jequitiba, Jongkong, Kapur, Kempas, Keruing, Kosipo, Kotibe, Koto, Light Red Meranti, Limba, Louro, Macaranduba, Mahogany, Makore, Mandioquiera, Mansonia, Mengkulang, Meranti Bakau, Merawan, Merbau, Merpauh, Mersawa, Moabi, Niangon, Nyatoh, Obeche, Okoume, Onzabili, Orey, Ovengkol, Ozigo, Padauk, Paldao, Palissandre de Guatemala, Palissandre de Para, Palissandre de Rio, Palissandre de Rose, Pau Amarelo, Pau Marfim, Pulai, Punah, Quaruba, Ramin, Sapelli, Saqui-Saqui, Sepetir, Sipo, Sucupira, Suren, Teak, Tauari, Tiama, Tola, Virola, White Lauan, White Meranti, White Seraya, Yellow Meranti.

**FIGURE B-2 Addendum to Conference Resolution Document 10.13**

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## Conference Resolution 12.3, Permits and Certificates

An excerpt from Conference Resolution 12.3, Permits and Certificates, is shown in **Figure B-3**. To view all CITES Conference Resolutions, see the following Web site <http://www.cites.org/eng/res/index.shtml>.



### **I. Regarding standardization of CITES permits and certificates**

AGREES that:

- a) to fulfil the requirements of Article VI of the Convention and relevant Resolutions, export and import permits, re-export and pre-Convention certificates, certificates of origin and certificates of captive breeding and artificial propagation (except where phytosanitary certificates are used for this purpose) should include all the information specified in Annex 1 of the present Resolution;
- b) every form should be printed in one or more of the working languages of the Convention (English, Spanish, French) and in the national language if it is not one of the working languages;
- c) every form should indicate which type of document it is (e.g. import or export permit, re-export or pre-Convention certificate, etc.);
- d) if a permit or certificate form includes a place for the signature of the applicant, the absence of the signature should render the permit or certificate invalid; and
- e) if an annex is attached to a permit or certificate as an integral part of it, this and the number of pages should be clearly indicated on the permit or certificate, and each page of the annex should include the following:
  - i) the number of the permit or certificate and its date of issue; and
  - ii) the signature and the stamp or seal, preferably embossed, of the authority issuing the document; and

RECOMMENDS that:

- a) Parties wishing to modify their permit and certificate forms, to reprint existing documents or to introduce new documents, first ask the Secretariat for advice;
- b) Parties adapt the contents and, to the extent practicable, the format of their permits and certificates to the standard form attached to the present Resolution as Annex 2;
- c) for tracking and annual reporting purposes, permit and certificate numbers be limited, if possible, to 14 characters in the format:

WWxxYYYYYY/zz

where WW represents the last two digits of the year of issuance; xx represents the two-letter ISO code of the country; YYYYYY represents a six-digit serial number; and zz represents two digits or letters, or a combination of a digit and a letter, that a Party may use for national informational purposes;

- d) Parties state, on each of their permits and certificates, the purpose of the transaction using the following codes:

**T** Commercial

**Z** Zoos

**G** Botanical gardens

**FIGURE B-3 Excerpt from CITES Conference Resolution 12.3, Permits and Certificates (page 1 of 11)**

**Q** Circuses and travelling exhibitions

**S** Scientific

**H** Hunting trophies

**P** Personal

**M** Medical (including biomedical research)

**E** Educational

**N** Reintroduction or introduction into the wild

**B** Breeding in captivity or artificial propagation

**L** Law enforcement / judicial / forensic;

e) the following codes be used to indicate the source of the specimens:

**W** Specimens taken from the wild

**R** Specimens originating from a ranching operation

**D** Appendix-I animals bred in captivity for commercial purposes and Appendix-I plants artificially propagated for commercial purposes, as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 4, of the Convention

**A** Plants that are artificially propagated in accordance with Resolution Conf. 11.11, paragraph a), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5, of the Convention (specimens of species included in Appendix I that have been propagated artificially for non-commercial purposes and specimens of species included in Appendices II and III)

**C** Animals bred in captivity in accordance with Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5, of the Convention (specimens of species included in Appendix I that have been bred in captivity for non-commercial purposes and specimens of species included in Appendices II and III)

**F** Animals born in captivity (F1 or subsequent generations) that do not fulfil the definition of 'bred in captivity' in Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof

**U** Source unknown (**must be justified**)

**I** Confiscated or seized specimens

**O** Pre-Convention specimens;

f) in cases where codes are used on permits and certificates to indicate the type of specimen, these conform to the codes provided in the Secretariat's most recent *Guidelines for the preparation and submission of annual reports* and that the units of measurement used also conform to these Guidelines;

FIGURE B-4 Excerpt from CITES Conference Resolution 12.3, Permits and Certificates (page 2 of 11)

- g) all Parties consider issuing permits and certificates printed on security paper;
- h) Parties that do not already do so affix a security stamp to each permit and certificate;
- i) when a security stamp is affixed to a permit or certificate, it be cancelled by a signature and a stamp or seal, preferably embossed and the number of the stamp also be recorded on the document;
- j) when issuing permits and certificates, the Parties follow the standard nomenclatures adopted by the Conference of the Parties to indicate the names of species (see Resolution Conf. 12.11);
- k) Parties that have not yet done so communicate to the Secretariat the names of the persons empowered to sign permits and certificates, as well as three specimens of their signatures, and that all the Parties communicate, within one month of any change thereto, the names of persons who have been added to the list of those already empowered to sign, the names of persons whose signatures are no longer valid and the dates the changes took effect;
- l) when the means of transport used requires a bill of lading or an air way-bill, the number of such document be stated on the permit or certificate;
- m) each Party inform the other Parties, direct or through the Secretariat, of any stricter internal measures it has taken under Article XIV, paragraph 1 (a), of the Convention, and that, when a Party is informed of this, it refrain from issuing permits and certificates that run counter to these measures;
- n) when a permit or certificate has been cancelled, lost, stolen or destroyed, the issuing Management Authority immediately inform the Management Authority of the country of destination, as well as the Secretariat regarding commercial shipments; and
- o) when a permit or certificate is issued to replace a document that has been cancelled, lost, stolen or destroyed, or that has expired, it indicate the number of the replaced document and the reason for the replacement;

## **II. Regarding export permits and re-export certificates**

AGREES that a re-export certificate should also specify:

- a) the country of origin, the number of the export permit of the country of origin and its date of issue; and
  - b) the country of last re-export, the number of the re-export certificate of that country and its date of issue;
- or if the case arises:
- c) justification for the omission of any of the aforementioned information; and

RECOMMENDS that:

- a) exported specimens and re-exported specimens not appear on the same document, unless it is clearly indicated which specimens are being exported and which re-exported;

**FIGURE B-5 Excerpt from CITES Conference Resolution 12.3, Permits and Certificates (page 3 of 11)**

- b) when re-export certificates are issued for specimens whose form has not changed since being imported, the unit of measure used be the same as that used on the permit or certificate accepted when they were imported;
- c) the provisions of Article III, paragraph 3, Article IV, paragraph 4, Article V, paragraph 3, and Article VI, paragraph 2, of the Convention be understood to mean that an export permit or re-export certificate shall be valid for a period of no more than six months from the date on which it was granted and that it may not be accepted to authorize export, re-export or import except during the period of validity;
- d) after the expiry of the said six-month period of validity, an export permit or re-export certificate be considered as void and of no legal value whatsoever, except in the case referred to in section XI relating to timber species;
- e) no export permit or re-export certificate be issued for a specimen known to have been acquired illegally, even if it has been imported in accordance with the national legislation, unless the specimen has previously been confiscated; and
- f) Parties not authorize the import of any specimen if they have reason to believe that it was not legally acquired in the country of origin;

### **III. Regarding import permits**

AGREES that an import permit for specimens of species included in Appendix I may carry, among other things, certification that the specimens will not be used for primarily commercial purposes and, in the case of live specimens, that the recipient has suitable facilities to house and care for them; and

RECOMMENDS that:

- a) the provisions of Article III, paragraphs 2 and 4, of the Convention be understood to mean that an import permit shall be valid for a period of not more than 12 months from the date on which it was granted and that it may not be accepted to authorize import except during the period of validity; and
- b) after the expiry of the said 12-month period of validity, an import permit be considered as void and of no legal value whatsoever;

### **IV. Regarding pre-Convention certificates**

AGREES that a pre-Convention certificate should also specify:

- a) that the specimen covered by the certificate is pre-Convention; and
- b) the date of acquisition of the specimen as defined in Resolution Conf. 5.11 adopted at the fifth meeting of the Conference of the Parties (Buenos Aires, 1985);

### **V. Regarding certificates of origin**

RECOMMENDS that:

- a) certificates of origin for export of specimens of species listed in Appendix III only be issued by a designated Management Authority or by the competent authority if trade is from a State not a Party to the Convention, and that Parties not accept certificates of origin unless they are issued by such authorities;

**FIGURE B-6** Excerpt from CITES Conference Resolution 12.3, Permits and Certificates (page 4 of 11)

b) the provisions of Article V, paragraph 3, of the Convention be understood to mean that a certificate of origin shall be valid for a period of not more than 12 months from the date on which it was granted, and that it may not be accepted to authorize export or import except during the period of validity; and

c) after the expiry of the said 12-month period of validity, a certificate of origin be considered as void and of no legal value whatsoever;

#### **VI. Regarding travelling-exhibition certificates**

RECOMMENDS that:

a) each Party issue a travelling-exhibition certificate for CITES specimens belonging to a travelling exhibition based in its State, registered with the Management Authority and wishing to transport specimens of CITES species to other States for exhibition purposes only, on the condition that they were legally acquired and will be returned to the State in which the exhibition is based and that they were:

i) acquired before 1 July 1975 or before the date of inclusion of the species in any of the Appendices of the Convention;

ii) bred in captivity as defined in Resolution Conf. 10.16 (Rev.); or

iii) artificially propagated as defined in Resolution Conf. 11.11;

b) travelling-exhibition certificates should be based on the model included in Annex 3 of the present Resolution. They should be printed in one or more of the working languages of the Convention (English, French, Spanish) and in the national language if it is not one of these;

c) travelling-exhibition certificates should contain the purpose code 'Q' and include in block 5, or in another block if the model form is not used, the following language: "The specimen/s covered by this certificate may not be sold or otherwise transferred in any State other than the State in which the exhibition is based and registered. This certificate is non-transferable. If the specimen/s dies, is/are stolen, destroyed, lost, sold or otherwise transferred, this certificate must be immediately returned by the owner to the issuing Management Authority";

d) a separate travelling exhibition certificate must be issued for each live animal;

e) for travelling exhibitions of specimens other than live animals, the Management Authority should attach an inventory sheet that contains all of the information in blocks 9 through 16 of the model form for each specimen;

f) travelling-exhibition certificates should be valid for not more than three years from the date on which they were granted to allow multiple imports, exports and re-exports of the individual specimens that they cover;

g) Parties consider such travelling-exhibition certificates as proof that the specimens concerned have been registered with the issuing Management Authority and allow the movement of such specimens across their borders;

h) at each border crossing, Parties endorse travelling-exhibition certificates with an authorized stamp and signature by the inspecting official and allow the certificates to remain with the specimens;

**FIGURE B-7 Excerpt from CITES Conference Resolution 12.3, Permits and Certificates (page 5 of 11)**

- i) Parties check travelling exhibitions closely, at the time of export/re-export and import, and note especially whether live specimens are transported and cared for in a manner that minimizes the risk of injury, damage to health or cruel treatment;
- j) Parties require that specimens be marked or identified in such a way that the authorities of each State into which an exhibition enters can verify that the travelling-exhibition certificates correspond to the specimens being imported;
- k) when, during a stay in a State, an animal in possession of an exhibition gives birth, the Management Authority of that State be notified and issue a Convention permit or certificate as appropriate;
- l) when, during a stay in a State, a travelling-exhibition certificate for a specimen is lost, stolen or accidentally destroyed, only the Management Authority which has issued the document may issue a duplicate. This duplicate will bear the same number, if possible, and the same date of validity as the original document, and contain the following statement: "This certificate is a true copy of the original"; and
- m) Parties include in their annual reports a list of all travelling-exhibition certificates issued in the year concerned;

**VII. Regarding phytosanitary certificates**

**RECOMMENDS that:**

- a) any Party having considered the practices governing the issue of its phytosanitary certificates for export of artificially propagated Appendix-II specimens, and having determined that such practices provide adequate assurance that the specimens are artificially propagated (as defined in Resolution Conf. 11.11), may consider these documents as certificates of artificial propagation in accordance with Article VII, paragraph 5, of the Convention. Such certificates must include the scientific name of the species and the type and quantity of the specimens and bear a stamp, seal or other specific indication stating that the specimens are artificially propagated as defined by CITES;
- b) any Party using phytosanitary certificates as certificates of artificial propagation inform the Secretariat and provide copies of the certificates, stamps, seals, etc. that are used; and
- c) phytosanitary certificates be used exclusively for the purpose of export from the country of artificial propagation of the specimens concerned;

**VIII. Regarding permits and certificates for species subject to quotas**

**RECOMMENDS that:**

- a) when a Party has voluntarily fixed national export quotas for specimens of species included in Appendix I, for non-commercial purposes, and/or in Appendices II and III, it inform the Secretariat of the quotas before issuing export permits and of any changes thereto as soon as they are made and it state on each export permit the total number of specimens already exported in the current year (including those covered by the permit in question) and the quota for the species concerned;
- b) when a Party has export quotas allocated by the Conference of the Parties for specimens of species included in Appendices I and II, it state on each export permit the total number of specimens already exported in the current year (including those covered by the permit in question) and the quota for the species concerned; and

**FIGURE B-8** Excerpt from CITES Conference Resolution 12.3, Permits and Certificates (page 6 of 11)

- c) Parties send to the Secretariat copies of permits issued for species subject to quotas if so requested by the Conference of the Parties, the Standing Committee or the Secretariat;

**XI. Regarding permits and certificates for timber species included in Appendices II and III with the annotation 'Designates logs, sawn wood and veneer sheets'**

RECOMMENDS that the validity of the export permit or re-export certificate may be extended beyond the normal maximum of six months after the date of issue, on the condition that:

- a) the shipment has arrived in the port of final destination before the date of expiration indicated on the permit or certificate and is being held in Customs bond (i.e. is not considered as imported);
- b) the time extension does not exceed six months from the date of expiration of the permit or certificate and no previous extension has been granted;
- c) the appropriate enforcement personnel has included the date of arrival and the new date of expiration in the box relating to special conditions, or an equivalent place, on the export permit or re-export certificate, certifying the modification with an official stamp or seal and signature;
- d) the shipment is imported for consumption from the port where it was located when the extension was approved and before the new date of expiration; and
- e) a copy of the export permit or re-export certificate as amended in accordance with subparagraph c) above is sent to the country of export or re-export, allowing it to amend its annual report, and to the CITES Secretariat; and

FURTHER RECOMMENDS that any permit or certificate that indicates the complete names and addresses of the (re-)exporter and importer, in conformity with Annex 1, paragraph d), to this Resolution, not be accepted for import into a country other than the one for which it was issued, except under the following conditions:

- a) the actual quantity of specimens exported or re-exported is included in the designated box on the permit or certificate, certified by the stamp or seal and signature of the authority that carried out the inspection at the time of export or re-export;
- b) the exact quantity referred to under a) is imported;
- c) the number of the bill of lading of the shipment is included on the permit or certificate;
- d) the bill of lading of the shipment is presented to the Management Authority together with the original of the permit or certificate at the time of import;
- e) the import takes place within six months after the issue of the export permit or re-export certificate or within 12 months after the issue of a certificate of origin;
- f) the period of validity of the permit or certificate has not already been extended;
- g) the Management Authority of the importing country includes on the permit or certificate, in the box relating to special conditions, or an equivalent place, the following text, certified by its stamp or seal and signature:  
  
"import into [name of country] permitted in accordance with Resolution Conf. 12.3 (section XI) on [date]"; and

FIGURE B-9 Excerpt from CITES Conference Resolution 12.3, Permits and Certificates (page 7 of 11)



h) a copy of the permit or certificate as amended in accordance with sub-paragraph g) above is sent to the country of export or re-export, allowing it to amend its annual report, and to the CITES Secretariat;

## **XII. Regarding the use of simplified procedures to issue permits and certificates**

RECOMMENDS that:

a) Parties use simplified procedures to issue permits and certificates to facilitate and expedite trade that will have a negligible impact, or none, on the conservation of the species concerned, e.g.:

i) where biological samples of the type and size specified in Annex 4 of this Resolution are urgently required:

A. in the interest of an individual animal;

B. in the interest of the conservation of the species concerned or other species listed in the Appendices;

C. for judicial or law enforcement purposes;

D. for the control of diseases transferable between species listed in the Appendices; or

E. for diagnostic or identification purposes;

ii) for the issuance of pre-Convention certificates in accordance with Article VII, paragraph 2, of the Convention;

iii) for the issuance of certificates of captive breeding or artificial propagation in accordance with Article VII, paragraph 5, of the Convention or for the issuance of export permits or re-export certificates in accordance with Article IV of the Convention for specimens referred to in Article VII, paragraph 4; and

iv) in other cases judged by a Management Authority to merit the use of simplified procedures;

b) Parties, in order to simplify procedures concerning the issuance of permits and certificates under the circumstances outlined above:

i) maintain a register of persons and bodies that may benefit from simplified procedures, as well as the species that they may trade under the simplified procedures;

ii) provide to registered persons and bodies partially completed permits and certificates that remain valid for a period of up to six months for export permits, 12 months for import permits or re-export certificates, and three years for pre-Convention certificates and certificates of captive breeding or artificial propagation; and

iii) authorize the registered persons or bodies to enter specific information on the face of the CITES document when the Management Authority has included in box 5, or an equivalent place, the following:

FIGURE B-10 Excerpt from CITES Conference Resolution 12.3, Permits and Certificates (page 8 of 11)



A. a list of the boxes that the registered persons or bodies are authorized to complete for each shipment; if the list includes scientific names, the Management Authority must have included an inventory of approved species on the face of the permit or certificate or in an attached annex;

B. any special conditions; and

C. a place for the signature of the person who completed the document;

c) concerning trade in biological samples of the type and size specified in Annex 4 of this Resolution, where the purpose is among those specified in paragraph a) of this section, permits and certificates be accepted that were validated at the time the documents were granted, rather than at the time a shipment was exported or re-exported provided that the container bears a label, such as a Customs label, that specifies 'CITES Biological Samples' and the CITES document number; and

d) when processing applications for the export of biological samples of the type and size and for the use specified in Annex 4 to this Resolution, Scientific Authorities develop generic non-detriment advice that would cover multiple shipments of such biological samples, taking into account the impacts of the collection of the specimens of species included in Appendix I or II to determine whether the export or import of biological samples would be detrimental to the survival of the species;

### **XIII. Regarding retrospective issue of permits and certificates**

RECOMMENDS that:

a) a Management Authority of an exporting or re-exporting country:

i) not issue CITES permits and certificates retrospectively;

ii) not provide exporters, re-exporters and/or consignees in importing countries with declarations about the legality of exports or re-exports of specimens having left its country without the required CITES documents; and

iii) not provide exporters, re-exporters and/or consignees in importing countries with declarations about the legality of permits or certificates which at the time of export, re-export or import did not meet the requirements of the Convention;

b) a Management Authority of an importing country, or of a country of transit or transshipment, not accept permits or certificates that were issued retrospectively;

c) exceptions from the recommendations under a) and b) above not be made with regard to Appendix-I specimens, and be made with regard to Appendix-II and -III specimens only where the Management Authorities of both the exporting (or re-exporting) and the importing countries are, after a prompt and thorough investigation in both countries and in close consultation with each other, satisfied:

i) that the irregularities that have occurred are not attributable to the exporter (or re-exporter) or the importer; and

ii) that the export (or re-export) and import of the specimens concerned are otherwise in compliance with the Convention and with the relevant legislation of the countries of export (or re-export) and import; and

FIGURE B-11 Excerpt from CITES Conference Resolution 12.3, Permits and Certificates (page 9 of 11)

d) whenever exceptions are made:

i) the permit or certificate clearly indicate that it is issued retrospectively; and

ii) the reasons for the relaxation, which should come within the purview of paragraph c), sub-paragraphs i) and ii) above, are specified on the permit or certificate and a copy sent to the Secretariat; and

#### **XIV. Regarding acceptance and clearance of documents and security measures**

RECOMMENDS that:

a) the Parties refuse to accept permits and certificates if they have been altered (by rubbing out, scratching out, etc.), modified or crossed out, unless the alteration, modification or crossing-out has been authenticated by the stamp and signature of the authority issuing the document;

b) whenever irregularities are suspected, the Parties exchange issued and/or accepted permits or certificates to verify their authenticity;

c) when a security stamp is affixed to a permit or certificate, the Parties refuse the document if the security stamp is not cancelled by a signature and a stamp or seal;

d) the Parties refuse to accept any permit or certificate that is invalid, including authentic documents that do not contain all the required information as specified in this Resolution or that contain information that brings into question the validity of the permit or certificate;

e) the Parties refuse to accept permits and certificates that do not indicate the scientific name of the species concerned (including subspecies when appropriate), except in the case where:

i) the Conference of the Parties has agreed that the use of higher-taxon names is acceptable;

ii) the issuing Party can show it is well justified and has communicated the justification to the Secretariat;

iii) certain manufactured products contain pre-Convention specimens that can not be identified to the species level; or

iv) worked skins or pieces thereof of *Tupinambis* species that were imported before 1 August 2000 are being re-exported, in which case it is sufficient to use the indication *Tupinambis* spp.;

f) when a Party refuses to accept a permit or certificate, it keep the original or, if this is against its national laws, it cancel the document indelibly, preferably by perforation, particularly the security stamp;

g) when a Party refuses to accept a permit or certificate issued for export or re-export, it immediately inform the exporting or re-exporting country;

h) when a Party is informed that a permit or certificate it has issued for export or re-export has been refused, it take measures to ensure that the specimens in question do not enter into illegal trade; and

FIGURE B-12 Excerpt from CITES Conference Resolution 12.3, Permits and Certificates (page 10 of 11)

i) Parties ensure that, when the original of a permit or certificate is not used by the permittee for the trade authorized, it is returned by the permittee to the issuing Management Authority in order to prevent the illegal use of the document; and

REPEALS the Resolutions listed hereunder:

a) Resolution Conf. 8.16 (Kyoto, 1992) – Travelling live-animal exhibitions; and

b) Resolution Conf. 10.2 (Rev.) (Harare, 1997, as amended at Gigiri, 2000) – Permits and certificates.

**FIGURE B-13** Excerpt from CITES Conference Resolution 12.3, Permits and Certificates (page 11 of 11)

## Annex 1, Information that Should Be Included in CITES Permits and Certificates

### **Annex 1 Information that should be included in CITES permits and certificates**

- a) The full name and the logo of the Convention
- b) The complete name and address of the Management Authority issuing the permit
- c) A unique control number
- d) The complete names and addresses of the exporter and importer
- e) The scientific name of the species to which the specimens belong (or the subspecies when it is relevant in order to determine in which Appendix the taxon concerned is included) in accordance with the adopted standard nomenclature
- f) The description of the specimens, in one of the Convention's three working languages, using the nomenclature of specimens distributed by the Secretariat
- g) The numbers of the marks appearing on the specimens if they are marked or if a Resolution of the Conference of the Parties prescribes marking (specimens from ranches, subject to quotas approved by the Conference of the Parties, originating from operations which breed animals included in Appendix I in captivity for commercial purposes, etc.)
- h) The Appendix in which the species or subspecies or population is listed
- i) The source of the specimens
- j) The quantity of specimens and, if appropriate, the unit of measure used
- k) The date of issue and the date of expiry
- l) The name of the signatory and his/her handwritten signature
- m) The embossed seal or ink stamp of the Management Authority
- n) A statement that the permit, if it covers live animals, is only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in case of air transport, with the IATA Live Animals Regulations
- o) The registration number of the operation, attributed by the Secretariat, when the permit involves specimens of a species included in Appendix I that originate from an operation practising breeding in captivity or artificial propagation for commercial purposes (Article VII, paragraph 4, of the Convention), and the name of the operation when it is not the exporter
- p) The actual quantity of specimens exported, certified by the stamp or seal and signature of the authority that carried out the inspection at the time of the exportation
- q) When specimens are marked with microchip transponders, all microchip codes, together with the trade mark of the transponder manufacturer, and, where possible, the location of the microchip in the specimen

#### ***To be included in certificates of origin only***

- r) A statement that the specimens originate in the country that issued the certificate***

FIGURE B-14 Annex 1, Information That Should Be Included in CITES Permits and Certifications

## Annex 2, Standard CITES Form


| Annex 2   |          | Standard CITES form  |  |   |  |
|---|----------|--|--|---|--|
|  <b>CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA</b>  |          | <b>PERMIT/CERTIFICATE No.</b><br><input type="checkbox"/> EXPORT<br><input type="checkbox"/> RE-EXPORT<br><input type="checkbox"/> IMPORT<br><input type="checkbox"/> OTHER: |  | <b>Original</b><br><br>2. Valid until                   |  |
| 3. Importer (name and address)  |          | 4. Exporter/re-exporter (name, address and country)  |  |   |  |
| 3a. Country of import   |          | Signature of the applicant   |  |   |  |
| 5. Special conditions<br><br><i>For live animals, this permit or certificate is only valid if the transport conditions conform to the Guidelines for Transport of Live Animals or, in the case of air transport, to the IATA Live Animals Regulations</i>                                   |          | 6. Name, address, national seal/stamp and country of Management Authority  |  |   |  |
| 5a. Purpose of the transaction (see reverse)  |          | 5b. Security stamp no.   |  |   |  |
| 7./8. Scientific name (genus and species) and common name of animal or plant  |          | 9. Description of specimens, including identifying marks or numbers (age/sex if live)  |  | 10. Appendix no. and source (see reverse)               |  |
|   |          |  |  | 11. Quantity (including unit)                           |  |
|   |          |  |  | 11a. Total exported/Quota                               |  |
| A   |          | 12. Country of origin * Permit no. Date  |  | 12a. Country of last re-export Certificate no. Date     |  |
|   |          |  |  | 12b. No. of the operation ** or date of acquisition *** |  |
| B   |          | 12. Country of origin * Permit no. Date  |  | 12a. Country of last re-export Certificate no. Date     |  |
|   |          |  |  | 12b. No. of the operation ** or date of acquisition *** |  |
| C   |          | 12. Country of origin * Permit no. Date  |  | 12a. Country of last re-export Certificate no. Date     |  |
|   |          |  |  | 12b. No. of the operation ** or date of acquisition *** |  |
| D   |          | 12. Country of origin * Permit no. Date  |  | 12a. Country of last re-export Certificate no. Date     |  |
|   |          |  |  | 12b. No. of the operation ** or date of acquisition *** |  |
| * Country in which the specimens were taken from the wild, bred in captivity or artificially propagated (only in case of re-export)<br>** Only for specimens of Appendix-I species bred in captivity or artificially propagated for commercial purposes<br>*** For pre-Convention specimens |          |  |  |   |  |
| 13. This permit/certificate is issued by:   |          |  |  |   |  |
| Place   |          | Date   |  | Security stamp, signature and official seal             |  |
| 14. Export endorsement:   |          | 15. Bill of Lading/Air waybill number:   |  |   |  |
| Block   | Quantity |  |  |   |  |
| A   |          |  |  |   |  |
| B   |          |  |  |   |  |
| C   |          |  |  |   |  |
| D   |          |  |  |   |  |
| Port of export  |          | Date   |  | Signature   |  |
|   |          |  |  | Official stamp and title                                |  |
| CITES PERMIT/CERTIFICATE No.  |          |  |  |   |  |

FIGURE B-15 Annex 2, Standard CITES Form (front)

### Instructions and explanations

(These correspond to block numbers on the form)

1. Tick the square which corresponds to the type of document issued (export permit, re-export certificate, import permit or other). If the box "other" has been ticked, the type of document must be indicated. The original number is a unique number allocated to each document by the Management Authority.
  2. For export permits and re-export certificates, the date of expiry of the document may not be more than six months after the date of issuance (one year for import permits).
  3. Complete name and address of the importer.
  - 3a. The name of the country must be written in full.
  4. Complete name and address of the exporter/re-exporter. The name of the country must be stated. The absence of the signature of the applicant renders the permit or certificate invalid.
  5. Special conditions may refer to national legislation or special conditions placed on the shipment by the issuing Management Authority. This block can also be used to justify the omission of certain information.
  - 5a. The following codes should be used: **T** for commercial, **Z** for zoos, **G** for botanical gardens, **Q** for circuses and travelling exhibitions, **S** for scientific purposes, **H** for hunting trophies, **P** for personal, **M** for medical, **E** for education, **N** for reintroduction or introduction into the wild, and **B** for breeding in captivity or artificial propagation, **L** for law enforcement / judicial / forensic.
  - 5b. Indicate the number of the security stamp affixed in block 13.
  6. The name, address and country of the issuing Management Authority should already be printed on the form.
  - 7-8. Indicate the scientific name (genus and species, where appropriate subspecies) of the animal or plant as it appears in the Convention Appendices or the reference lists approved by the Conference of the Parties, and the common name of the animal or plant as known in the country issuing the permit.
  9. Describe, as precisely as possible, the specimens entering trade (live animals, skins, flanks, wallets, shoes, etc.). If a specimen is marked (tags, identifying marks, rings, etc.), whether or not this is required by a Resolution of the Conference of the Parties (specimens originating in a ranching operation, specimens subject to quotas approved by the Conference of the Parties, specimens of Appendix-I species bred in captivity for commercial purposes, etc.), indicate the number and type of mark. The sex and age of the live animals should be recorded, if possible.
  10. Enter the number of the Appendix of the Convention (I, II or III) in which the species is listed.  
Use the following codes to indicate the source:  
**W** Specimens taken from the wild  
**R** Specimens originating from a ranching operation  
**D** Appendix-I animals bred in captivity for commercial purposes and Appendix-I plants artificially propagated for commercial purposes, as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 4, of the Convention  
**A** Plants that are artificially propagated in accordance with Resolution Conf. 11.11, paragraph a), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been propagated artificially for non-commercial purposes and specimens of species included in Appendices II and III)  
**C** Animals bred in captivity in accordance with Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been bred in captivity for non-commercial purposes and specimens of species included in Appendices II and III)  
**F** Animals born in captivity (F1 or subsequent generations) that do not fulfil the definition of 'bred in captivity' in Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof  
**U** Source unknown (must be justified)  
**I** Confiscated or seized specimens  
**O** Pre-Convention (may be used with other source codes).
  11. The quantity and units indicated should conform to the most recent version of the *Guidelines for the preparation and submission of annual reports*.
  - 11a. Indicate the total number of specimens exported in the current calendar year (including those covered by the present permit) and the current annual quota for the species concerned (for example 500/1000). This should be done for the national quotas as well as for those determined by the Conference of the Parties.
  12. The country of origin is the country in which the specimens were taken from the wild, bred in captivity or artificially propagated. Indicate the number of the permit or certificate of the exporting country and the date of issuance. If all or part of the information is not known, this should be justified in block 5. This block must only be completed in case of re-exports.
  - 12a. The country of last re-export is the country from which the specimens were re-exported before entering the country in which the present document is issued. Enter the number of the re-export certificate of the country of last re-export and its date of issuance. If all or part of the information is not known, this should be justified in block 5. This block must only be completed in case of re-export of specimens previously re-exported.
  - 12b. The "No. of the operation" is the number of the registered captive-breeding or artificial propagation operation. The "date of acquisition" is defined in Resolution Conf. 5.11 and is required only for pre-Convention specimens.
  13. To be completed by the official who issues the permit. The name of the official must be written in full. The security stamp must be affixed in this block and must be cancelled by the signature of the issuing official and a stamp or seal. The seal, signature and security-stamp number should be clearly legible.
  14. To be completed by the official who inspects the shipment at the time of export or re-export. Enter the quantities of specimens actually exported or re-exported. Strike out the unused blocks.
  15. Enter the number of the bill of lading or airway-bill if the method of transport used requires the use of such a document.
- The document must be written in one of the three working languages of the Convention (English, Spanish or French) or must include a full translation into one of these three languages. Exported and re-exported specimens should not appear on the same document unless it is clearly indicated which specimens are being exported and which re-exported.

AFTER USE THIS DOCUMENT MUST BE RETURNED TO A MANAGEMENT AUTHORITY OF THE IMPORTING COUNTRY.

FIGURE B-16 Annex 2, Standard CITES Form (back)





# Appendix C

## Conversion Formulas

### Contents

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### Conversion Formulas for Timber and Timber Products

Use the following formulas to assist you with verifying that the quantity recorded on the CITES Permit or Certificate matches the quantity invoiced on the accompanying shipping documents.

These conversions should also be made by the importer or exporter so that the total quantity of CITES regulated material recorded on the shipping documents is expressed in the same unit of measurement found on the CITES Permit or Certificate.

#### Board Feet of Lumber to Cubic Meters

There are 424 board feet per cubic meter. To convert board feet of lumber to cubic meters, divide the board feet of lumber by 424 board feet. See the equation in [Figure C-1](#) below.

$$\frac{\text{Total board feet of lumber}}{424 \text{ board feet}} = \text{cubic meters of lumber}$$

FIGURE C-1 Formula to Convert Board Feet of Lumber to Cubic Meters

Some countries may express board feet in pie tablares (PT.). Since 1 PT. is equal to one board foot, change the total PT to total board feet of lumber, then continue using the formula in [Figure C-1](#) above to convert to cubic meters of lumber.

#### EXAMPLE

A shipment of 1000 board feet of lumber arrives at your port. Use the following calculation to convert this shipment to cubic meters of lumber:

$$\frac{(1000 \text{ board feet of lumber})}{(424 \text{ board feet})} = 2.36 \text{ cubic meters of lumber}$$

### Cubic Feet of Lumber to Cubic Meters

The conversion of cubic feet of lumber to cubic meters may be difficult because the formula depends upon the multiplication of the number of square meters and the thickness of wood, which could be variable. In this case, the CPB Agriculture Specialist, PPQ Plant Health Safeguarding Specialist, or PPQ Export Certification Specialist should have the permittee perform the conversion and then have the permittee supply the CPB Agriculture Specialist, PPQ Plant Health Safeguarding Specialist, or PPQ Export Certification Specialist with a copy of calculations. See [Figure C-2](#) for the conversion formula.

Cubic feet of lumber = (lumber length in feet) x (lumber width in feet) and  
(lumber thickness in feet) = (lumber thickness in inches/12)

**FIGURE C-2** Formula to Convert Cubic Feet of Lumber to Cubic Meters

#### EXAMPLE

A shipment of 10,000 square feet of lumber approximately 1 inch thick arrives at your port. Use the following calculation to convert this shipment to cubic meters:

$$\frac{(10,000 \text{ square feet of lumber}) \times 1 \times (0.02832)}{12} = 23.6 \text{ cubic meters}$$

---

## Conversion Formulas for Veneer

### Square Feet of Veneer to Square Meters

Use the formula below to convert square feet of veneer to square meters.

Where: (square feet of veneer) = (length of veneer in feet) x (width of veneer in feet)  
(square feet of veneer) x (0.0929) = square meters of veneer

**FIGURE C-3** Formula to Convert Square Feet of Veneer to Square Meters

#### EXAMPLE

A shipment of 25,000 square feet of veneer arrives at your port. Use the following calculation to convert this shipment to square meters:

$$(25,000 \text{ square feet of veneer}) \times (0.0929) = 2322.5 \text{ square meters}$$



## Square Meters of Veneer to Cubic Meters

Use the formula in [Figure C-4](#) to convert square meters of veneer to cubic meters.

$$(\text{Square meters of veneer}) \times (\text{Veneer thickness in meters}) = \text{Cubic meters of veneer}$$

**FIGURE C-4 Formula to Convert Square Meters of Veneer to Cubic Meters**



**Important**

Where: (square meters of Veneer) =  
(length of veneer in meters) x (width of veneer in meters)

veneer thickness in meters= (veneer thickness in millimeters) /1000

This conversion formula depends on the multiplication of the number of square meters and the thickness of wood, which could be variable. In this case, have the permittee perform the conversion and provide you with a copy of the calculations.

### EXAMPLE

A shipment of 25,000 square meters of veneer 0.6 millimeters thick arrives at your port. Use the following calculation would convert this shipment to cubic meters:

$$(25,000 \text{ square meters of veneer}) \times \frac{(0.6)}{1000} \text{ meter} = 15 \text{ cubic meters of veneer}$$

## Cubic Feet of Veneer to Cubic Meters

To convert cubic feet of veneer to cubic meters, use the formula in [Figure C-5](#).

$$(\text{cubic feet of veneer}) \times (\text{veneer thickness in feet}) \times (0.02832) = \text{cubic meters of veneer}$$

**FIGURE C-5 Formula to Convert Cubic Feet of Veneer to Cubic Meters**



**Important**

Where: (cubic feet of veneer) = (length of veneer in feet) x (width of veneer in feet) and veneer thickness in feet =  
(veneer thickness in a fraction of an inch)/12

This conversion formula depends on the multiplication of the number of cubic feet and the thickness of wood, which could be variable. In this case, have the permittee perform the conversion and provide you with a copy of the calculations.

### EXAMPLE

A shipment of 25,000 square meters of veneer 1/16 of an inch thick arrives at your port. Use the following calculation to convert this shipment to cubic meters.

$$(25,000 \text{ square meters of veneer}) \times \frac{((1/16))}{12} =$$

$$130.21 \text{ square feet} \times 0.02832 = 3.687 \text{ cubic meters}$$

---

## Conversion Formula for Dowel Rods

### Volume of a Cylinder in Inches to Cubic Meters

To convert cubic inches of dowel to cubic meters, use the formula in **Figure C-6**.

$$(\text{Cubic inches of dowel}) \times (.0000164) = \text{cubic meters of dowel}$$

**FIGURE C-6** Formula to Convert Volume of a Cylinder in Inches to Cubic Meters



Where volume of cylinder in cubic inches =

$$\pi (3.14) \times (\text{radius of dowel in inches})^2 \times (\text{length of dowel in inches}) \times (\text{total number of dowels})$$

#### EXAMPLE

A shipment of containing 100,000 ramin dowels (each measure 1/4 inch in diameter by 16 inches in length) arrives at your port. Use the following formula to convert this shipment to cubic meters:

$$\text{Radius} = 1/2 \text{ diameter}$$

$$R = 1/4 = .25 \times 1/2 = .125$$

$$(3.14) \times (.125)^2 \times 16 \text{ inches} \times 100,000 = 78,500 \text{ cubic inches of dowel}$$

$$(78,500 \text{ cubic inches of dowel}) \times (.0000164) = 1.287 \text{ cubic meters of dowel}$$



# Appendix D

## *CITES Documents*

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## Introduction

This appendix provides an example of a standard CITES permit, examples of USFWS-issued CITES certificates, and examples of selected CITES permits and certificates from countries you will most likely encounter. These examples are intended to assist the CPB Agriculture Specialist, PPQ Plant Health Safeguarding Specialist, or PPQ Export Certification Specialist with verifying the documents presented to them are authentic.

## FWS Form 3-201A CITES Other Certificate (Pre-Convention)

| FORM 3-201A (1/07)   |  | CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA  |  | Page 1 of 1   |  |
|--|--|--|--|---|--|
| 3. Permittee (name and address, country)   |  | 4. Consignee (name and address, country)   |  | <input type="checkbox"/> EXPORT PERMIT<br><input type="checkbox"/> RE-EXPORT CERTIFICATE<br><input checked="" type="checkbox"/> OTHER CERTIFICATE (see block 9)   |  |
| 5. Special Conditions<br>MUST COMPLY WITH ATTACHED GENERAL CONDITIONS FOR PLANTS.<br>MUST EXPORT THROUGH A USDA OR CUSTOMS AND BORDER PROTECTION DESIGNATED PORT.<br>PERMIT MUST BE VALIDATED BY THE USDA OR CUSTOMS AND BORDER PROTECTION PRIOR TO EXPORT.<br>MUST MEET JAPANESE IMPORT REQUIREMENTS.                             |  | 5a. Purpose of Transaction<br>T  |  | 5b. Security No.<br>027972  |  |
| 6. U.S. Management Authority<br>DIVISION OF MANAGEMENT AUTHORITY<br>U.S. FISH AND WILDLIFE SERVICE<br>DEPARTMENT OF THE INTERIOR<br>WASHINGTON, D.C. 20240<br>UNITED STATES OF AMERICA<br><br>02/23/2004<br>Issuing Date<br>United States Management Authority<br>AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et. seq.) |  | 7. U.S. CITES Management Authority<br><i>[Signature]</i>   |  |   |  |
| For live animals, only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with IATA Live Animals Regulations.  |  | 8. Common Name and Scientific name (genus and species) of Animal or Plant  |  | 9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live)  |  |
| A. Common Name<br>BRAZILIAN ROSEWOOD<br>Scientific Name<br>DALBERGIA NIGRA   |  | 9. PRE-CONVENTION: GUITARS WITH BRAZILIAN ROSEWOOD FINGERBOARDS; 1965 FENDER ELECTRIC, STRATOCASTER, SERIAL # 137897; 1964 FENDER ELECTRIC, STRATOCASTER, SERIAL # L35936. |  | 10. Appendix No. and Source<br>1. W<br>11. Quantity (including units)<br>2 NO<br>11a. Total Exported/Quota  |  |
| 12. Country of Origin<br>UNKNOWN   |  | Permit/Certificate No.   |  | Date of Issue   |  |
| 12a. Country of Last Re-export   |  | Re-export Certificate No.  |  | Date of Issue   |  |
| 12b. Breeding Operation No.  |  | 12c. Pre-Convention: Date of Acquisition<br>1964, 1965   |  |   |  |
| B. Common Name   |  | 9.   |  | 10.   |  |
| Scientific Name  |  |  |  | 11. Quantity (including units)  |  |
|  |  |  |  | 11a. Total Exported/Quota   |  |
| 12. Country of Origin  |  | Permit/Certificate No.   |  | Date of Issue   |  |
| 12a. Country of Last Re-export   |  | Re-export Certificate No.  |  | Date of Issue   |  |
| 12b. Breeding Operation No.  |  | 12c. Pre-Convention: Date of Acquisition   |  |   |  |
| 13. Export / Re-export Endorsement:<br>The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block.   |  | 14. Bill of Lading/Air Way-Bill Number<br>MOLU-1675436-03<br>Port of Exportation / Re-exportation<br>JAMAICA, NEW YORK<br>Total No. of Shipping Containers<br>2 CONT.      |  | 15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block.<br><br>RELEASED<br>JFKIA--JAMAICA, NY<br>USDA, APHIS, PPO<br><i>[Signature]</i><br>Inspecting Official's Stamp, Signature and Date<br>MARCH 6, 2004 |  |
| See Block 7  |  | Quantity   |  |   |  |
| A  |  | 2 (two)  |  |   |  |
| B  |  |  |  |   |  |

027972

FIGURE D-1 Example of FWS CITES Other Certificate (Pre-Convention) (printed on security paper)



## FWS Cover Letter to CITES Re-export Certificate Permittee



### United States Department of the Interior

FISH AND WILDLIFE SERVICE  
Washington, D.C. 20210

Dear Bigleaf Mahogany re-export permittee:

Enclosed is your U.S. CITES re-export certificate. **Please be sure to read the permit conditions and use the re-export certificate correctly, as follows:**

- Make a copy of the U.S. re-export certificate.
- On the U.S. re-export certificate copy, complete:  
Block 4: Write in the name and address of the Consignee on the copy.  
**Block 5: Write the shipment number. Each shipment must have a unique number in this blank.**  
Block 11: Write in the quantity (must be in cubic meters) being re-exported.  
Block 12: Write in the name of the Country from whom you imported the lumber (ex. Bolivia, Peru, etc.); write in the Country of origin CITES permit or certificate number and the date the country of origin permit or certificate was issued. This must be the CITES permit or certificate that the lumber was imported under.  
  
**Note:** List only one Country of origin CITES document on each copy of the U.S. re-export certificate. You can have multiple re-export certificates validated for a shipment. You must list the exact Country of Origin CITES document under which material was imported on the re-export certificate.
- Attach a copy of the Country of origin CITES permit or certificate of origin to the U.S. CITES re-export certificate. Please note the country of origin CITES document should have been stamped USDA/APHIS/PPQ "Inspected and Released". If you are concerned about the Consignee seeing the name of your supplier on the attached Country of origin CITES document you may redact (black out) their name and address on the copy.
- Make an additional copy of the completed U.S. re-export certificate, with the attached country of origin CITES document, that will be mailed to our office by the USDA/APHIS/PPQ Inspecting official. You may also want to make a copy for your records.
- Have the U.S. re-export certificate copies validated by a USDA/APHIS/PPQ Inspecting official: one to accompany the shipment and one to be mailed to our office.
- Your U.S. re-export is only valid for a 6 month period (see block 2 for the expiration date of your certificate). Your re-export certificate must be valid for you to re-export bigleaf mahogany lumber. A renewal application may be obtained from <http://forms.fws.gov>, form 3-200-52. Please allow 30 days for the processing of the renewal.

If you have questions, contact Amy Brisendine, at the Division of Management Authority, 4401 North Fairfax Drive, Room 700, Arlington, Virginia 22203, (703-358-2441).

FIGURE D-2 Example of FWS Re-export Certificate Cover Letter to Permittee

## FWS Form 3-201A, CITES Re-export Certificate


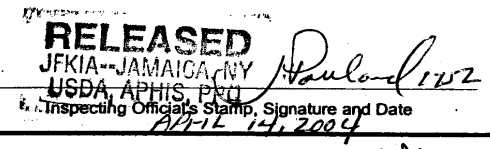
| FORM 3-201A (1/97)   |  | CONVENTION ON<br>INTERNATIONAL TRADE IN<br>ENDANGERED SPECIES OF<br>WILD FAUNA AND FLORA   |  | <input type="checkbox"/> EXPORT PERMIT<br><input checked="" type="checkbox"/> RE-EXPORT CERTIFICATE<br><input type="checkbox"/> OTHER CERTIFICATE (see block 9)                                       |  | Page 1 of 1                              |  |
|--|--|--|--|---|--|--|--|
| 3. Permittee (name and address, country)   |  |  |  | 4. Consignee (name and address, country)  |  |  |  |
| 5. Special Conditions<br>• MUST COMPLY WITH ATTACHED GENERAL PERMIT CONDITIONS FOR PLANTS.<br>• MUST EXPORT THROUGH A USDA DESIGNATED PORT.<br>• CERTIFICATE MAY BE COPIED FOR MULTIPLE SHIPMENTS; PERMITTEE TO RETAIN ORIGINAL.<br>• PERMITTEE MUST:<br>A. ON CERTIFICATE COPY, COMPLETE BLOCKS 4, 11 (QUANTITY), AND 12 (COUNTRY OF ORIGIN, PERMIT#, DATE OF ISSUE)<br>B. ATTACH A COPY OF THE CITES DOCUMENT USED TO IMPORT WOOD INTO THE U.S.;<br>C. LIST SHIPMENT # _____; AND<br>D. HAVE COMPLETED COPY OF U.S. RE-EXPORT CERTIFICATE VALIDATED BY THE USDA PRIOR TO EACH SHIPMENT.<br>• QUANTITY IN BLOCK 11 MUST BE REPORTED IN CUBIC METERS (M3). THIS AMENDS AND REPLACES 03US812188/9 ISSUED 9/26/03.<br><br><i>For live animals, only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with IATA Live Animals Regulations.</i> |  |  |  | 5a. Purpose of Transaction<br>T   |  | 5b. Security No.<br>US9267M              |  |
| 6. U.S. Management Authority<br><br>DIVISION OF MANAGEMENT AUTHORITY<br>U.S. FISH AND WILDLIFE SERVICE<br>DEPARTMENT OF THE INTERIOR<br>WASHINGTON, D.C. 20240<br>UNITED STATES OF AMERICA<br><br><br>02/23/2004<br>Issuing Date<br>United States Management Authority<br>AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et. seq.)   |  |  |  |   |  |  |  |
| Common Name and Scientific name (genus and species) of Animal or Plant   |  | 9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live)   |  | 10. Appendix No. and Source   |  |  |  |
| A. Common Name<br>HOLYWOOD<br>LIGNUM VITAE<br><br>Scientific Name<br>GUAIACUM<br>SANCTUM   |  | 9. RE-EXPORT: DIMENSION LUMBER.  |  | 10. 2 W<br>11. Quantity (including units)<br>51 M3<br>11a. Total Exported/Quota   |  |  |  |
| 12. Country of Origin<br>MEXICO  |  | Permit/Certificate No.<br>A04675   |  | Date of Issue<br>01/15/2004   |  | 12b. Breeding Operation No.              |  |
| 12a. Country of Last Re-export   |  | Re-export Certificate No.  |  | Date of Issue   |  | 12c. Pre-Convention: Date of Acquisition |  |
| B. Common Name<br>BIGLEAF<br>MAHOGANY<br><br>Scientific Name<br>SWIETENIA<br>MACROPHYLLA   |  | 9. RE-EXPORT: DIMENSION LUMBER.  |  | 10. 2 W<br>11. Quantity (including units)<br>1.6 M3<br>11a. Total Exported/Quota  |  |  |  |
| 12. Country of Origin<br>PERU  |  | Permit/Certificate No.<br>06432  |  | Date of Issue<br>01/27/2004   |  | 12b. Breeding Operation No.              |  |
| 12a. Country of Last Re-export   |  | Re-export Certificate No.  |  | Date of Issue   |  | 12c. Pre-Convention: Date of Acquisition |  |
| 13. Export / Re-export Endorsement:<br>The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block.   |  | 14. Bill of Lading/Air Way-Bill Number<br>47632157-0<br><br>Port of Exportation / Re-exportation<br>JAMAICA, New York<br><br>Total No. of Shipping Containers<br>(1) ONE |  | 15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block.<br><br> |  |  |  |

FIGURE D-3 Example of USFWS Form 3-201A, CITES Re-export Certificate (with Special Conditions)

## FWS CITES Special Permit Condition


|   |  |
|---|--|
| <br><small>ADDRESS ONLY THE DIRECTOR<br/>FISH AND WILDLIFE SERVICE</small>   | <h3>United States Department of the Interior</h3> <p><b>FISH AND WILDLIFE SERVICE</b><br/>Washington, D.C. 20240</p> |
| <b>PRT-032756</b>   |  |
| <p><b>SPECIAL PERMIT CONDITION</b></p> <p><b>BRAVO International Hardwoods</b></p>  |  |
| <ol style="list-style-type: none"><li>1. Permittee must attach copies of the Country of origin CITES permit or certificate, under which the lumber was imported, to the copy of U.S. CITES re-export certificate. The copies of the Country of origin CITES document should have the USDA-APHIS-PPQ Inspected &amp; Released stamp. To protect proprietary business information, the permittee may redact the supplier's name and address on the Country of origin document copy which is attached to the U.S. re-export certificate accompanying the shipment.</li><li>2. A copy of the Country of origin CITES document, with the USDA-APHIS-PPQ Inspected &amp; Released stamp, must also be attached to the copy of the U.S. re-export certificate that is mailed to the Division of Management Authority by the inspecting official.</li><li>3. List only one Country of origin CITES document on each copy of the U. S. re-export certificate and attach the corresponding copy of the Country of origin CITES document.</li><li>4. On the U.S. re-export certificate copy, complete:<br/>Block 4: Write in the name and address of the Consignee on the copy.<br/>Block 5: Write the shipment number. Each shipment must have a unique number in this blank.<br/>Block 11: Write in the quantity (must be in cubic meters) being re-exported.<br/>Blocks 12: Write in the name of the Country from whom you imported the lumber (ex. Bolivia, Brazil, etc.); write in the Country of origin CITES permit or certificate number and the date the country of origin permit or certificate was issued. This must be the CITES permit or certificate that the lumber was imported under.</li></ol> |  |
| <hr style="width: 100px; margin: 0 auto;"/> <b>DATE</b>   | <hr style="width: 200px; margin: 0 auto;"/> <b>BRANCH OF PERMITS<br/>U.S. MANAGEMENT AUTHORITY</b>                   |

FIGURE D-4 Example of FWS CITES Special Permit Condition



## Information That Should Be Included in CITES Permits and Certificates

Information that should be included in CITES permits and certificates is listed in **Figure D-5** below. For further information in regards to Conference Resolution 12.3, see **Conference Resolution 12.3, Permits and Certificates** on page B-4.

### Annex 1

#### Information that should be included in CITES permits and certificates

- a) The full name and the logo of the Convention
  - b) The complete name and address of the Management Authority issuing the permit
  - c) A unique control number
  - d) The complete names and addresses of the exporter and importer
  - e) The scientific name of the species to which the specimens belong (or the subspecies when it is relevant in order to determine in which Appendix the taxon concerned is included) in accordance with the adopted standard nomenclature
  - f) The description of the specimens, in one of the Convention's three working languages, using the nomenclature of specimens distributed by the Secretariat
  - g) The numbers of the marks appearing on the specimens if they are marked or if a Resolution of the Conference of the Parties prescribes marking (specimens from ranches, subject to quotas approved by the Conference of the Parties, originating from operations which breed animals included in Appendix I in captivity for commercial purposes, etc.)
  - h) The Appendix in which the species or subspecies or population is listed
  - i) The source of the specimens
  - j) The quantity of specimens and, if appropriate, the unit of measure used
  - k) The date of issue and the date of expiry
  - l) The name of the signatory and his/her handwritten signature
  - m) The embossed seal or ink stamp of the Management Authority
  - n) A statement that the permit, if it covers live animals, is only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in case of air transport, with the IATA Live Animals Regulations
  - o) The registration number of the operation, attributed by the Secretariat, when the permit involves specimens of a species included in Appendix I that originate from an operation practising breeding in captivity or artificial propagation for commercial purposes (Article VII, paragraph 4, of the Convention), and the name of the operation when it is not the exporter
  - p) The actual quantity of specimens exported, certified by the stamp or seal and signature of the authority that carried out the inspection at the time of the exportation
  - q) When specimens are marked with microchip transponders, all microchip codes, together with the trade mark of the transponder manufacturer, and, where possible, the location of the microchip in the specimen
- To be included in certificates of origin only**
- r) A statement that the specimens originate in the country that issued the certificate

**FIGURE D-5 Information That Should be Included in CITES Permits and Certificates (Annex 1 to Conference Resolution 12.3)**

## Standard CITES Form

The location of blocks in the Standard CITES form may be in different locations depending on the country issuing the form.


| Annex 2   |   | Standard CITES form  |                                   |
|---|---|--|-----------------------------------|
|  <b>CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA</b>  |   | <b>PERMIT/CERTIFICATE No.</b><br><input type="checkbox"/> EXPORT<br><input type="checkbox"/> RE-EXPORT<br><input type="checkbox"/> IMPORT<br><input type="checkbox"/> OTHER: | <b>Original</b><br>2. Valid until |
| 3. Importer (name and address)  |   | 4. Exporter/re-exporter (name, address and country)  |                                   |
| 3a. Country of import   |   | Signature of the applicant   |                                   |
| 5. Special conditions<br><br><i>For live animals, this permit or certificate is only valid if the transport conditions conform to the Guidelines for Transport of Live Animals or, in the case of air transport, to the IATA Live Animals Regulations</i>                                   |   | 6. Name, address, national seal/stamp and country of Management Authority  |                                   |
| 5a. Purpose of the transaction (see reverse)  | 5b. Security stamp no.  |  |                                   |
| 7./8. Scientific name (genus and species) and common name of animal or plant  | 9. Description of specimens, including identifying marks or numbers (age/sex if live) | 10. Appendix no. and source (see reverse)  | 11. Quantity (including unit)     |
|   |   | 11a. Total exported/Quota  |                                   |
| A   |   | 12a. Country of last re-export   |                                   |
| 12. Country of origin * Permit no.  | Date  | Certificate no.  | Date                              |
| B   |   | 12a. Country of last re-export   |                                   |
| 12. Country of origin * Permit no.  | Date  | Certificate no.  | Date                              |
| C   |   | 12a. Country of last re-export   |                                   |
| 12. Country of origin * Permit no.  | Date  | Certificate no.  | Date                              |
| D   |   | 12a. Country of last re-export   |                                   |
| 12. Country of origin * Permit no.  | Date  | Certificate no.  | Date                              |
| * Country in which the specimens were taken from the wild, bred in captivity or artificially propagated (only in case of re-export)<br>** Only for specimens of Appendix-I species bred in captivity or artificially propagated for commercial purposes<br>*** For pre-Convention specimens |   |  |                                   |
| 13. This permit/certificate is issued by:   |   |  |                                   |
| Place Date Security stamp, signature and official seal  |   |  |                                   |
| 14. Export endorsement:   |   | 15. Bill of Lading/Air waybill number:   |                                   |
| Block   | Quantity  |  |                                   |
| A   |   |  |                                   |
| B   |   |  |                                   |
| C   |   |  |                                   |
| D   |   |  |                                   |
| Port of export  |   | Date   | Signature                         |
|   |   |  | Official stamp and title          |
| CITES PERMIT/CERTIFICATE No.  |   |  |                                   |

FIGURE D-6 Example of Standard CITES Form (front) (Annex 2, Conference Resolution 12.3)

## Instructions and explanations

(These correspond to block numbers on the form)

1. Tick the square which corresponds to the type of document issued (export permit, re-export certificate, import permit or other). If the box "other" has been ticked, the type of document must be indicated. The original number is a unique number allocated to each document by the Management Authority.
2. For export permits and re-export certificates, the date of expiry of the document may not be more than six months after the date of issuance (one year for import permits).
3. Complete name and address of the importer.
- 3a. The name of the country must be written in full.
4. Complete name and address of the exporter/re-exporter. The name of the country must be stated. The absence of the signature of the applicant renders the permit or certificate invalid.
5. Special conditions may refer to national legislation or special conditions placed on the shipment by the issuing Management Authority. This block can also be used to justify the omission of certain information.
- 5a. The following codes should be used: **T** for commercial, **Z** for zoos, **G** for botanical gardens, **Q** for circuses and travelling exhibitions, **S** for scientific purposes, **H** for hunting trophies, **P** for personal, **M** for medical, **E** for education, **N** for reintroduction or introduction into the wild, and **B** for breeding in captivity or artificial propagation, **L** for law enforcement / judicial / forensic.
- 5b. Indicate the number of the security stamp affixed in block 13.
6. The name, address and country of the issuing Management Authority should already be printed on the form.
- 7-8. Indicate the scientific name (genus and species, where appropriate subspecies) of the animal or plant as it appears in the Convention Appendices or the reference lists approved by the Conference of the Parties, and the common name of the animal or plant as known in the country issuing the permit.
9. Describe, as precisely as possible, the specimens entering trade (live animals, skins, flanks, wallets, shoes, etc.). If a specimen is marked (tags, identifying marks, rings, etc.), whether or not this is required by a Resolution of the Conference of the Parties (specimens originating in a ranching operation, specimens subject to quotas approved by the Conference of the Parties, specimens of Appendix-I species bred in captivity for commercial purposes, etc.), indicate the number and type of mark. The sex and age of the live animals should be recorded, if possible.
10. Enter the number of the Appendix of the Convention (I, II or III) in which the species is listed.  
Use the following codes to indicate the source:  
**W** = Specimens taken from the wild  
**R** Specimens originating from a ranching operation  
**D** Appendix-I animals bred in captivity for commercial purposes and Appendix-I plants artificially propagated for commercial purposes, as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 4, of the Convention  
**A** Plants that are artificially propagated in accordance with Resolution Conf. 11.11, paragraph a), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been propagated artificially for non-commercial purposes and specimens of species included in Appendices II and III)  
**C** Animals bred in captivity in accordance with Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been bred in captivity for non-commercial purposes and specimens of species included in Appendices II and III)  
**F** Animals born in captivity (F1 or subsequent generations) that do not fulfil the definition of 'bred in captivity' in Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof  
**U** Source unknown (must be justified)  
**I** Confiscated or seized specimens  
**O** Pre-Convention (may be used with other source codes).
11. The quantity and units indicated should conform to the most recent version of the *Guidelines for the preparation and submission of annual reports*.
- 11a. Indicate the total number of specimens exported in the current calendar year (including those covered by the present permit) and the current annual quota for the species concerned (for example 500/1000). This should be done for the national quotas as well as for those determined by the Conference of the Parties.
12. The country of origin is the country in which the specimens were taken from the wild, bred in captivity or artificially propagated. Indicate the number of the permit or certificate of the exporting country and the date of issuance. If all or part of the information is not known, this should be justified in block 5. This block must only be completed in case of re-exports.
- 12a. The country of last re-export is the country from which the specimens were re-exported before entering the country in which the present document is issued. Enter the number of the re-export certificate of the country of last re-export and its date of issuance. If all or part of the information is not known, this should be justified in block 5. This block must only be completed in case of re-export of specimens previously re-exported.
- 12b. The "No. of the operation" is the number of the registered captive-breeding or artificial propagation operation. The "date of acquisition" is defined in Resolution Conf. 5.11 and is required only for pre-Convention specimens.
13. To be completed by the official who issues the permit. The name of the official must be written in full. The security stamp must be affixed in this block and must be cancelled by the signature of the issuing official and a stamp or seal. The seal, signature and security-stamp number should be clearly legible.
14. To be completed by the official who inspects the shipment at the time of export or re-export. Enter the quantities of specimens actually exported or re-exported. Strike out the unused blocks.
15. Enter the number of the bill of lading or air way-bill if the method of transport used requires the use of such a document.

The document must be written in one of the three working languages of the Convention (English, Spanish or French) or must include a full translation into one of these three languages. Exported and re-exported specimens should not appear on the same document unless it is clearly indicated which specimens are being exported and which re-exported.

AFTER USE THIS DOCUMENT MUST BE RETURNED TO A MANAGEMENT AUTHORITY OF THE IMPORTING COUNTRY.

FIGURE D-7 Example of Standard CITES Form (back) Annex 2 (to Conference Resolution 12.3)

## Argentina CITES Permit/Certificate for Export/Re-export


|   |   |   |   |
|---|---|---|---|
|  <p><b>LEY 22344</b><br/>CONVENCIÓN SOBRE EL COMERCIO INTERNACIONAL<br/>DE ESPECIES AMENAZADAS DE FAUNA Y FLORA SILVESTRES<br/>CONVENTION ON INTERNATIONAL TRADE IN<br/>ENDANGERED SPECIES OF WILD FAUNA AND FLORA</p> <p><b>CITES</b></p> |   | <p>EXPORTACION<br/>Export</p> <p>REEXPORTACION<br/>Re-export</p>  | <p>PERMISO<br/>ORIGINAL<br/>ORIGINAL PERMIT</p> <p>Nº 000071</p>              |
| <p>MINISTERIO DE AGRICULTURA Y GANADERIA<br/>DIRECCION NACIONAL DE FAUNA SILVESTRE<br/>REPUBLICA ARGENTINA</p>  |   | <p>2. VALIDO HASTA EL<br/>Valid until</p>   |   |
| <p>2. DESTINATARIO (NOMBRE Y DIRECCION, PAIS)<br/>Consignee (name and address, country)</p>   |   | <p>4. TITULAR (NOMBRE Y DIRECCION, PAIS)<br/>Consignor (name and address, country)</p>  |   |
| <p>5. CONDICIONES ESPECIALES<br/>Special conditions</p>   |   | <p>6. NOMBRE, DIRECCION, SELLO/TIMBRE NACIONAL DE LA AUTORIDAD ADMINISTRATIVA<br/>Name, address, and national stamp of the administrative authority</p> <p style="text-align: center;"><b>DIRECCION NACIONAL DE FAUNA SILVESTRE<br/>PASEO COLON 922 - 2º PISO<br/>1063 BUENOS AIRES ARGENTINA</b></p> |   |
| <p>7. NOMBRE COMUN DEL ANIMAL O PLANTA<br/>Common name of the animal or plant</p>   | <p>8. NOMBRE CIENTIFICO DEL ANIMAL O PLANTA<br/>Scientific name of the animal or plant</p> <p style="text-align: center;"><b>GENERO ESPECIE</b><br/>Genus Species</p> | <p>9. DESCRIPCION PARTE O DERIVADO MARCAS O NUMEROS DE IDENTIFICACION (EDAD, SEXO SI VIVOS)<br/>Description mark or identity number (age/sex if alive)</p>  | <p>10. APENDICE Nº Y PROVENIENCIA (W.C.A. o D)<br/>Appendix n° and origin</p> |
| <p>11. CANTIDAD: NUMERO DE ESPECIMENES Y/O PESO NETO (Kg.)<br/>Quantity number of specimens and/or weight (Kg.)</p>   |   | <p>PAIS DE ORIGEN<br/>Country of origin</p>   |   |
| <p>12. PAIS EN EL CUAL LOS ESPECIMENES FUERON CAPTURADOS O RECOLECTADOS EN LA NATURALEZA, NACIDOS Y CRIADOS EN CAUTIVIDAD O REPRODUCIDOS ARTIFICIALMENTE.<br/>Country where specimens were captured or collected in the wild, born and reared in captivity or reproduced artificially.</p>                                  |   | <p>PERMISO Nº<br/>Permit n°</p>   |   |
| <p>13. ESTE PERMISO ES EMITIDO POR LA AUTORIDAD SIGUIENTE:<br/>This permit is given by the following authority</p>  |   | <p>PAIS DE ORIGEN<br/>Country of origin</p>   |   |
| <p>14. APROBACION DE LA EXPORTACION<br/>Approval of export</p>  |   | <p>15. CONOCIMIENTO DE EMBARQUE/CARTA DE PORTE AEREO<br/>Knowledge of embarkation/card of air department</p>  |   |
| <p>LUGAR<br/>Place</p> <p>FECHA<br/>Date</p> <p>FIRMA<br/>Signature</p> <p>SELLO Y CARGOS OFICIALES<br/>Seal and official rank</p>  |   | <p>PAIS DE ORIGEN<br/>Country of origin</p> <p>PERMISO Nº<br/>Permit n°</p>   |   |
| <p>VER ITEM 7<br/>See item 7</p> <p>CANTIDAD<br/>Quantity</p>   |   | <p>PAIS DE ORIGEN<br/>Country of origin</p> <p>PERMISO Nº<br/>Permit n°</p>   |   |
| <p>PUERTO DE EXPORTACION<br/>Port of export</p> <p>FECHA<br/>Date</p> <p>FIRMA<br/>Signature</p> <p>SELLO Y CARGOS OFICIALES<br/>Seal and official rank</p>   |   | <p>PAIS DE ORIGEN<br/>Country of origin</p> <p>PERMISO Nº<br/>Permit n°</p>   |   |
| <p><b>ANNULE</b></p>  |   |   |   |
| <p><b>ORIGINAL PARA PAIS IMPORTADOR</b></p>   |   |   |   |

FIGURE D-8 Example of Argentina CITES Permit for Export/Re-export

## Barbados CITES Permit/Certificate for Export/Re-export/Import/Other

lot. 1777/07

GOVERNMENT OF BARBADOS  
CITES PERMITS

EXP/REEXP/IMP/OT

**CITES** CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA

PERMIT/CERTIFICATE NO. \_\_\_\_\_

☐ EXPORT  
☐ RE-EXPORT  
☐ IMPORT  
☐ OTHER

2. Valid until: \_\_\_\_\_

3. Importer (name and address): \_\_\_\_\_

3a. Country of Import: \_\_\_\_\_

4. Exporter (name and address, country): \_\_\_\_\_

5. Special conditions: \_\_\_\_\_

For live animals. This permit or certificate is only valid if transport conditions conform to the Guidance for Transport of Live Animals or, in the case of air transport, to the IATA Live Animals Regulations.

5. Name, address, national seal/stamp and country of Management Authority:  
P.S. (ENVIRONMENT DIVISION)  
MINISTRY OF HEALTH AND THE ENVIRONMENT  
SIR FRANK WALCOTT BUILDING  
BRIDGETOWN, BARBADOS

5a. Purpose of the transaction (see reverse): \_\_\_\_\_

5b. Security Stamp No.: \_\_\_\_\_

7./8. SCIENTIFIC NAME (Genus and species) AND COMMON NAME OF ANIMAL OR PLANT

9. Description of specimens, including identifying marks or numbers (age/sex, if alive): \_\_\_\_\_

10. Appendix No. and source (see reverse): \_\_\_\_\_

11. Quantity (including unit): \_\_\_\_\_

11a. Total exported/Quota: \_\_\_\_\_

A

7./8. \_\_\_\_\_

9. \_\_\_\_\_

10. \_\_\_\_\_

11. \_\_\_\_\_

11a. \_\_\_\_\_

12. Country of origin\* Permit No. Date

12a. Country of last re-export Certificate No. Date

12b. No. of operation \*\* or date of acquisition \*\*\*

B

7./8. \_\_\_\_\_

9. \_\_\_\_\_

10. \_\_\_\_\_

11. \_\_\_\_\_

11a. \_\_\_\_\_

12. Country of origin\* Permit No. Date

12a. Country of last re-export Certificate No. Date

12b. No. of operation \*\* or date of acquisition \*\*\*

C

7./8. \_\_\_\_\_

9. \_\_\_\_\_

10. \_\_\_\_\_

11. \_\_\_\_\_

11a. \_\_\_\_\_

12. Country of origin\* Permit No. Date

12a. Country of last re-export Certificate No. Date

12b. No. of operation \*\* or date of acquisition \*\*\*

D

7./8. \_\_\_\_\_

9. \_\_\_\_\_

10. \_\_\_\_\_

11. \_\_\_\_\_

11a. \_\_\_\_\_

12. Country of origin\* Permit No. Date

12a. Country of last re-export Certificate No. Date

12b. No. of operation \*\* or date of acquisition \*\*\*

\* Country to which the specimens were taken from the wild, bred in captivity or artificially propagated (only in case of re-export)  
\*\* Only for specimens of Appendix I species bred in captivity for commercial purposes  
\*\*\* for pre-Convention specimens

MINISTRY OF AGRICULTURE

13. a) Health Certificate \_\_\_\_\_ b) Date \_\_\_\_\_

c) Surname \_\_\_\_\_ d) Signature \_\_\_\_\_ Office Stamp \_\_\_\_\_

14. THIS PERMIT IS ISSUED BY: \_\_\_\_\_

Place \_\_\_\_\_ Date \_\_\_\_\_ Security stamp, signature and official seal \_\_\_\_\_

15. EXPORT ENDORSEMENT:

| Block | Quantity |
|-------|----------|
| A     |          |
| B     |          |
| C     |          |
| D     |          |

16. Bill of Lading/Air Waybill Number: \_\_\_\_\_

Port of Export: \_\_\_\_\_ Date: \_\_\_\_\_ Signature: \_\_\_\_\_ Official Stamp and title: \_\_\_\_\_

CITES PERMIT/CERTIFICATE No. \_\_\_\_\_

FIGURE D-9 Example of Barbados CITES Permit/Certificate for Export/Re-export/Import/Other



## Belize CITES Permit/Certificate for Export/Re-export/Import/Other

**CITES** CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA

PERMIT/CERTIFICATE No 000604

☐ EXPORT ☐ RE-EXPORT ☐ IMPORT ☐ OTHER: \_\_\_\_\_

2. Valid until \_\_\_\_\_

3. Importer (name and address) or consignee \_\_\_\_\_

3a. Country of import \_\_\_\_\_

4. Exporter (name and address, country) \_\_\_\_\_


5. Special Conditions

For live animals, this permit or certificate is only valid if the transport conditions conform to the Guidelines for Transport of Live Animals or, in the case of air transport, to the IATA Live Animals Regulations.

5a. Purpose of the transaction (see reverse) \_\_\_\_\_

5b. Security stamp No. \_\_\_\_\_

6. Name, address, national seal/stamp and country of Management Authority

 Forest Department  
Ministry of Natural Resources  
Belmopan  
Belize, C.A.

| 7./8. SCIENTIFIC NAME (genus and species) AND COMMON NAME OF ANIMAL OR PLANT | 9. Description of specimens, including identifying marks or numbers (age/sex if live) | 10. Appendix No. and source (see reverse)                      | 11. Quantity (including unit) | 11a. Total exported Quota   |
|--|---|--|-------------------------------|---|
| A  | 7./8. _____   | 9. _____   | 10. _____                     | 11. _____   |
| 12. Country of origin * Permit No. _____ Date _____                          |   | 12a. Country of last export * Certificate No. _____ Date _____ |                               | 12b. No. of the breeding operation * * * or date of acquisition * * * |
| B  | 7./8. _____   | 9. _____   | 10. _____                     | 11. _____   |
| 12. Country of origin * Permit No. _____ Date _____                          |   | 12a. Country of last export * Certificate No. _____ Date _____ |                               | 12b. No. of the operation * * * or date of acquisition * * *          |
| C  | 7./8. _____   | 9. _____   | 10. _____                     | 11. _____   |
| 12. Country of origin * Permit No. _____ Date _____                          |   | 12a. Country of last export * Certificate No. _____ Date _____ |                               | 12b. No. of the operation * * * or date of acquisition * * *          |
| D  | 7./8. _____   | 9. _____   | 10. _____                     | 11. _____   |
| 12. Country of origin * Permit No. _____ Date _____                          |   | 12a. Country of last export * Certificate No. _____ Date _____ |                               | 12b. No. of the operation * * * or date of acquisition * * *          |

\* Country in which the specimens were taken from the wild, bred in captivity or artificially propagated (only in case of re-export)  
\* \* Only for specimens of Appendix-I species bred in captivity or artificially propagated for commercial purposes  
\* \* \* For pre-Convention specimens

13. THIS PERMIT IS ISSUED BY: \_\_\_\_\_

Place \_\_\_\_\_ Date \_\_\_\_\_ Security stamp, signature and official seal \_\_\_\_\_

14. EXPORT ENDORSEMENT: \_\_\_\_\_

15. Bill of Lading/Air Waybill Number: \_\_\_\_\_


| Block | Quantity |
|-------|----------|
| A     | _____    |
| B     | _____    |
| C     | _____    |
| D     | _____    |

Port of Export \_\_\_\_\_ Date \_\_\_\_\_ Signature \_\_\_\_\_ Official stamp and title \_\_\_\_\_

CITES PERMIT/CERTIFICATE No 8-7 104

FIGURE D-10 Example of Belize CITES Permit/Certificate for Export/Re-export/Import/Other

## Bolivia CITES Permit for Export/Re-export



**CONVENCION SOBRE EL COMERCIO INTERNACIONAL DE ESPECIES AMENAZADAS DE FAUNA Y FLORA SILVESTRES**

☐ EXPORTACION  
☐ REEXPORTACION

1. PERMISO Original  
N° 00001

2. Válido hasta el

3. Destinataria (nombre y dirección, país)

4. Titular (nombre y dirección, país)

5. Nombre, dirección, sello/número nacional y país de la Autoridad Administrativa

Ministerio de Asuntos Campesinos y Agropecuarios  
Centro de Desarrollo Forestal  
Jefatura Nacional de Vida Silvestre,  
Parques Nacionales, Caza y Pesca  
Av. Camacho 1323 - 4° Piso  
LA PAZ, BOLIVIA

7./8. NOMBRE COMÚN Y NOMBRE CIENTÍFICO (género y especie) DEL ANIMAL O PLANTA

9. Descripción parte o derivados: medidas, números de identificación (especificar si vivas)

10. Apéndice A\* y producción (W, C, A, o D)

11. Censado: número de especímenes (o peso seco (K.G.))

|   | País de origen | Permiso N° |
|---|----------------|------------|
| A |                |            |
| B |                |            |
| C |                |            |
| D |                |            |
| E |                |            |
| F |                |            |

12. País en el cual los especímenes fueron capturados o recolectados en la naturaleza, nacidos y criados en cautividad o reproducidos artificialmente.

13. ESTE PERMISO ES EMITIDO POR LA AUTORIDAD SIGUIENTE:

Lugar

Fecha

Firma

Sello y cargo oficiales

14. APROBACIÓN DE LA EXPORTACIÓN:

| Ver ítem | Cantidad |
|----------|----------|
| B        |          |
| C        |          |
| D        |          |
| E        |          |
| F        |          |

15. Constancia de embarque/corte de parte aérea:

Puerto de exportación

Fecha

Firma

Sello y cargo oficiales

Valor del formulario US\$ 10. - o su equivalente en moneda nacional  
NOTA: Este documento no es negociable y es intransferible bajo penalidades de ley

Impreso con la asistencia de Prodena-Bolivia

FIGURE D-11 Example of Bolivia CITES Permit for Export/Re-export

**FIGURE D-12 Example of Brazil CITES Permit for Import/Export/Re-export/Other**



## Cameroun CITES Permit/Certificate for Export/Re-export/Import

MINISTÈRE DE L'ENVIRONNEMENT  
ET DES FORÊTS

DIRECTION DES FORÊTS

SDAFF SN

CONVENTION SUR LE COMMERCE  
INTERNATIONAL DES ESPÈCES  
DE FAUNE ET DE FLORE SAUVAGES  
MENACÉES D'EXTINCTION

REPUBLICQUE DU CAMEROUN  
Paix - Travail - Patrie

☐ EXPORTATION  
☐ REEXPORTATION  
☐ IMPORTATION

N° /P/MINEF/DF/SDAFF/SN

2. NON VALABLE APRES LE :

3. Destinataire (Nom, adresse, pays)

4. Titulaire (Nom, adresse, pays)

5. Conditions particulières

6. Nom, adresse, cachet, sceau national et pays de l'Organe de Gestion

7/8 Nom commun et  
nom scientifique

9. Description des parties ou produits :  
Marques ou numéros d'identification  
(âge/sexes/si vivant)

10. N° du Permis

11. Annexe

12. Pays d'origine

13. Quantité

14. Pays dans lequel les spécimens ont été prélevés dans la nature, sont nés et ont été élevés en captivité ou ont été reproduits artificiellement

15. CE PERMIS EST DELIVRE PAR L'AUTORITE SUIVANTE

16. LE MINISTRE DE L'ENVIRONNEMENT ET DES FORÊTS

17. Lieu

18. Date

19. Signature

20. Cachet et titre officiels

21. Approbation de l'exportation

22. Connaissance / lettre de transport aérien

23. Voir rubrique 7

24. Quantité

25. Port d'exportation

26. Date

27. Signature

28. Cachet et titre officiels

ORIGINAL accompagnant la spécimen

FIGURE D-13 Example of Cameroun CITES Permit/Certificate for Export/Re-export/Import

## Canada Export Permit



|  Department of Foreign Affairs<br>Ministère des Affaires étrangères  |   | Application for the Convention on International Trade in Endangered Species of Wild Fauna and Flora<br>Demande de la Convention sur le commerce international des espèces de faune et de flore sauvages menacées d'extinction                       |   |
|---|---|---|---|
| <b>(1) Exporter (name, address, telephone)</b><br>Exportateur (nom, adresse, téléphone)   |   | <b>EXPORT PERMIT</b><br>Convention on International Trade in Endangered Species of Wild Fauna and Flora<br><b>LICENCE D'EXPORTATION</b><br>Convention sur le commerce international des espèces de faune et de flore sauvages menacées d'extinction |   |
| <b>(2) Consignee and final destination (name, address)</b><br>Destinataire à l'ultime destination (nom, adresse)  |   | Applicant's reference no.: _____ Date: _____<br>No. de référence du requérant: _____  |   |
| <b>(3) Applicant (if other than exporter)</b><br>Requérant (si autre que l'exportateur)   |   | <b>(5) Shipment no.:</b> _____<br>No. de l'expédition: _____<br>Date: _____   |   |
|   |   | Permit, if issued, to be sent to:<br>Exporter <input type="checkbox"/> Exporteur License, if issued, to be sent to:<br>Applicant <input type="checkbox"/> Requérant   |   |
|   |   | <b>(6) Exporting Province/Territory</b><br>Province/Territoire exportateur  |   |
|   |   | <b>(7) Country of final destination</b><br>Pays de destination finale   |   |
|   |   | Canadian port where Customs entry will be presented <b>PORT</b> Port canadien où sera présentée la déclaration d'exportation  |   |
| <b>(4) The undersigned hereby certifies that all information given in this application is true and correct.</b><br>Le soussigné certifie que tous les renseignements fournis dans cette formule de demande sont exacts. |   | Source: Artificially Propagated / reproduites artificiellement (O)<br>Purpose: Commercial   |   |
| Signature _____   |   | Country of Origin <b>CANADA</b> Pays d'origine  |   |
| Appendix Annexes  | Markes Marques  | <b>(8) Description (scientific name, type, sex)</b><br>Description (nom scientifique, genre, etc.)  | <b>(9) Quantity</b><br>Quantité         |
|   |   |   | <b>Sex</b><br>Sexe                      |
|   |   |   | <b>Size and Age</b><br>Taille et âge    |
| <b>CANCELLED</b><br><b>ANNULÉE</b>  |   |   |   |
| This Permit is valid only when signed in box (4) by the exporter identified in box (1).<br>Cette licence est valide seulement lorsqu'elle est signée à la case (4) par l'exportateur nommé à la case (1).               |   |   |   |
| <b>CONDITIONS: MUST COMPLY WITH THE CONDITIONS AND INSTRUCTIONS INDICATED ON THE REVERSE SIDE.</b><br><b>DOIT SE CONFORMER AUX CONDITIONS ET AUX INSTRUCTIONS DÉCRITES AU VERSO.</b>                                    |   |   |   |
| For Departmental Use Only - À l'usage du ministère seulement  |   |   |   |
| Signature and stamp of issuing authority  | Signature et tampon des autorités émettent la licence | Customs stamp of importing country  | Tampon de la douane du pays importateur |
|   |   | Permit No. <b>CA-CW-EX-XXXX-XX</b> No. de la licence  |   |
|   |   | Date of issue _____ Date d'émission   |   |
| Checked by collector of Customs against copy retained for Department  |   | Date stamp of port of validation _____ Timbre à date du bureau de validation  |   |
| Vérifié par le Receveur de la douane avec l'exemplaire reçu du ministère  |   | Expiry Date _____ Date d'expiration   |   |
|   |   | File No. _____ Dossier no.  |   |

FIGURE D-14 Example of Canada Export Permit

**FIGURE D-15 Example of Central Africa (CentraAfricaine) Permit for CITES Export/Re-export/Import**

## Chile CITES Permit for Export/Re-export/Import

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**CONVENCION SOBRE EL COMERCIO  
INTERNACIONAL DE ESPECIES  
AMENAZADAS DE FAUNA Y FLORA  
SILVESTRES**

☐ EXPORTACION  
☐ REEXPORTACION  
☐ IMPORTACION



**1. PERMISO ORIGINAL N° 0000201**

2. Válido hasta el: \_\_\_\_\_

| <p>3. Destinataria (nombre y dirección, país):</p>   | <p>4. Titular (nombre y dirección, país):</p>  |   |   |   |  |   |  |   |  |   |  |   |  |
|--|--|---|---|---|--|---|--|---|--|---|--|---|--|
| <p>5. Condiciones especiales:</p> <p>A - DECRETO LEY N° 673 DE 20 ENERO 1975<br/>MINISTERIO DE RELACIONES EXTERIORES</p> <p>B - DECRETO SUPLENTO N° 141 DE 18 FEBRERO 1975<br/>MINISTERIO DE RELACIONES EXTERIORES</p> <p>OTRAS _____</p>  | <p>6. Nombre, dirección, sello, timbre nacional y país de la Autoridad Administrativa:</p> <p style="text-align: center;"><b>REPUBLICA DE CHILE</b><br/><b>MINISTERIO DE AGRICULTURA</b></p> <p style="text-align: center;">SERVICIO AGRICOLA Y GANADERO<br/>DIRECCION EJECUTIVA<br/>AVENIDA GENERAL BULNES N° 140<br/>CASILLA 4088 - SANTIAGO - CHILE</p> |   |   |   |  |   |  |   |  |   |  |   |  |
| <p>7. NOMBRE COMUN Y NOMBRE CIENTIFICO (género y especie) DEL ANIMAL O PLANTA</p>  | <p>8. Descripción parte o derivado, marcas o números de identificación (edad, sexo, vivos)</p>   | <p>10. Apéndice N° y procedencia (W.C.A. o D)</p> | <p>11. Cantidad, número de especímenes y o peso neto (Kg)</p> |   |  |   |  |   |  |   |  |   |  |
| <p>A</p>   | <p></p>  | <p></p>   | <p></p>   |   |  |   |  |   |  |   |  |   |  |
| <p>B</p>   | <p></p>  | <p></p>   | <p></p>   |   |  |   |  |   |  |   |  |   |  |
| <p>C</p>   | <p></p>  | <p></p>   | <p></p>   |   |  |   |  |   |  |   |  |   |  |
| <p>D</p>   | <p></p>  | <p></p>   | <p></p>   |   |  |   |  |   |  |   |  |   |  |
| <p>12. País en el cual los especímenes fueron capturados o recolectados en la naturaleza, nacidos y criados en cautividad o reproducidos artificialmente</p>   |  |   |   |   |  |   |  |   |  |   |  |   |  |
| <p>13. ESTE PERMISO ES EMITIDO POR LA AUTORIDAD SIGUIENTE</p> <p style="text-align: center;">Lugar: _____ Fecha: _____ Firma: _____</p>  |  |   |   |   |  |   |  |   |  |   |  |   |  |
| <p>14. APROBACION DE LA EXPORTACION</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Ver item 7</th> <th>Cantidad</th> </tr> </thead> <tbody> <tr> <td>A</td> <td></td> </tr> <tr> <td>B</td> <td></td> </tr> <tr> <td>C</td> <td></td> </tr> <tr> <td>D</td> <td></td> </tr> </tbody> </table> |  | Ver item 7  | Cantidad  | A |  | B |  | C |  | D |  | <p>15. Conocimiento de embarque, carta de porte aéreo</p> |  |
| Ver item 7   | Cantidad   |   |   |   |  |   |  |   |  |   |  |   |  |
| A  |  |   |   |   |  |   |  |   |  |   |  |   |  |
| B  |  |   |   |   |  |   |  |   |  |   |  |   |  |
| C  |  |   |   |   |  |   |  |   |  |   |  |   |  |
| D  |  |   |   |   |  |   |  |   |  |   |  |   |  |
| <p>Fuente de exportación: _____</p>  |  |   |   |   |  |   |  |   |  |   |  |   |  |

FIGURE D-16 Example of Chile CITES Permit for Export/Re-export/Import

## China CITES Permit/Certificate for Export/Re-export/Import/Other

|  |  |  |              |  |                                      |                          |
|--|--|--|--------------|--|--------------------------------------|--------------------------|
|  <p><b>CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA</b><br/><b>濒危野生动植物种国际贸易公约</b><br/><b>PERMIT/CERTIFICATE FOR IMPORT/EXPORT &amp; REEXPORT</b><br/><b>允许进出口证明书</b></p>   |  | <input type="checkbox"/> <b>EXPORT 出口</b><br><input type="checkbox"/> <b>RE-EXPORT 再出口</b><br><input type="checkbox"/> <b>IMPORT 进口</b><br><input type="checkbox"/> <b>OTHER 其它</b>  |              | <p>1. PERMIT/CERTIFICATE No. 证号</p> <p>2. Valid Until 有效期至</p> |                                      |                          |
| 3. Importer (Name, Address and Country) 进口者 (名称、地址和国家)   |  | 4. Exporter (Name, Address and Country) 出口者 (名称、地址和国家)   |              |  |                                      |                          |
| 3a. Import Port 进口口岸   |  | 4a. Export Port 出口口岸   |              |  |                                      |                          |
| 5. HS Code and Special Conditions 海关协调制度编码及特殊条件  |  | 6. Name, Address, National Seal of Management Authority  |              |  |                                      |                          |
| <p>For live animals, this permit or certificate is only valid if the transport conditions confirm to the Guidelines for Transport of Live Animals or, in case of air transport, to the IATA Live Animals Regulations. This permit/certificate is only valid for ONE entry/exit. 对于活体动物, 只有当运输条件符合《活体动物的运输指南》或空运条件符合 IATA《活体动物运输规则》要求的情况下, 本证明书方为有效。本证书仅限一次性使用。</p> |  |  <p>The Endangered Species Import and Export Management Office of the People's Republic of China<br/>Add: 18 Hepingli Dongjie, Beijing 100714<br/>Tel: 86-10-64239001, 64239008<br/>Fax: 86-10-64214180, 64299515<br/>中华人民共和国濒危物种进出口管理办公室<br/>地址: 中华人民共和国北京市东城区和平里东街18号<br/>邮政编码: 100714<br/>电话: 86-10-64239001, 64239008<br/>传真: 86-10-64214180, 64299515</p> |              |  |                                      |                          |
| 5a. Purpose of Transaction 贸易目的  |  | 5b. Security Stamp No. 安全印花号   |              |  |                                      |                          |
| 7 No. 序号   | 7a Species (Chinese & Scientific) Name 种名 (中文名、学名) | 7b Appendix 附录   | 7c Source 来源 | 7d Description 标本类型  | 7e Quantity or Weight /Unit 数量或净重/单位 | 7f Origin of Country 原产国 |
| <p><i>Example!</i></p>   |  |  |              |  |                                      |                          |
| 8. THIS PERMIT/CERTIFICATE IS ISSUED BY 发证机关   |  |  |              |  |                                      |                          |
| <p>Place 地点 Date 日期 Signature 签名 Security Stamp and Official Seal 安全印花及公章</p>  |  |  |              |  |                                      |                          |
| 9. For Customs Official Use Only 海关备注  |  | 9a. Bill of Lading/Airway-bill Number 提单/空运单号  |              |  |                                      |                          |
| Block 栏目   | Quantity/Unit 数量/单位                                |  |              |  |                                      |                          |
| A  |  |  |              |  |                                      |                          |
| B  |  |  |              |  |                                      |                          |
| C  |  |  |              |  |                                      |                          |
| D  |  |  |              |  |                                      |                          |
|  |  | Port of Im/Export 进出口口岸  | Date 日期      | Signature 签名   | Official Stamp and Title 公章          |                          |

说明: 本证明书一式五联。此正本必须随第7栏所述货物同行。  
NOTE: This permit/certificate is composed of 5 pages. The original must follow the goods described in Block 7.

FIGURE D-17 Example of China CITES Permit for Export/Re-export/Import/Other

## Colombia CITES Permit/Certificate for Export/Re-export/Import/Other

**CITES** CONVENCIÓN SOBRE EL COMERCIO INTERNACIONAL DE ESPECIES AMENAZADAS DE LA FAUNA Y FLORA SILVESTRE

PERMISO/CERTIFICADO No. CO/P/ 00510

☐ EXPORTACION  
☐ RE-EXPORTACION  
☐ IMPORTACION  
☐ OTRO:

2. Valido hasta el: \_\_\_\_\_

3. Destinatario (nombre y dirección): \_\_\_\_\_

4. Titular (nombre, dirección y país): \_\_\_\_\_

5. Condiciones especiales: \_\_\_\_\_

6. Nombre, dirección, sello/timbre nacional y país de la Autoridad Administrativa

Ministerio del Medio Ambiente  
Calle 37 No. 8-40  
Santa Fe de Bogotá, D.C.  
COLOMBIA

7. NOMBRE COMÚN Y NOMBRE CIENTÍFICO (género y especie) DEL ANIMAL O PLANTA

7.1. \_\_\_\_\_

7.2. \_\_\_\_\_

7.3. \_\_\_\_\_

7.4. \_\_\_\_\_

7.5. \_\_\_\_\_

7.6. \_\_\_\_\_

7.7. \_\_\_\_\_

7.8. \_\_\_\_\_

7.9. \_\_\_\_\_

7.10. \_\_\_\_\_

7.11. \_\_\_\_\_

7.12. \_\_\_\_\_

7.13. \_\_\_\_\_

7.14. \_\_\_\_\_

7.15. \_\_\_\_\_

7.16. \_\_\_\_\_

7.17. \_\_\_\_\_

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7.81. \_\_\_\_\_

7.82. \_\_\_\_\_

7.83. \_\_\_\_\_

7.84. \_\_\_\_\_

7.85. \_\_\_\_\_

7.86. \_\_\_\_\_

7.87. \_\_\_\_\_

7.88. \_\_\_\_\_

7.89. \_\_\_\_\_

7.90. \_\_\_\_\_

7.91. \_\_\_\_\_

7.92. \_\_\_\_\_

7.93. \_\_\_\_\_

7.94. \_\_\_\_\_

7.95. \_\_\_\_\_

7.96. \_\_\_\_\_

7.97. \_\_\_\_\_

7.98. \_\_\_\_\_

7.99. \_\_\_\_\_

7.100. \_\_\_\_\_

12. País de origen \* Permisos No. Fecha

12a. País de procedencia No. de certificado Fecha

12b. No. de la operación \*\*\* Fecha de la adquisición \*\*\*

13. ESTE PERMISO ES EMITIDO POR LA AUTORIDAD SIGUIENTE:

Lugar Fecha Estampilla de seguridad, firma y sello oficiales

14. APROBACION DE LA EXPORTACION

15. Conocimiento de embarque/carga de porte aéreo:

Puerto de exportación Fecha Firma Sello y cargo oficiales

ORIGINAL -

PERMISO/CERTIFICADO No. CO/P/ 00510

MINISTERIO DEL MEDIO AMBIENTE FORMATO DE ENTREGA DEL PERMISO CITES

No. DEL PERMISO 00510

FECHA DE EMBARQUE: \_\_\_\_\_

NOMBRE DEL ESTABLECIMIENTO: \_\_\_\_\_

SALVOCONDUCTO No. \_\_\_\_\_

DEX No. \_\_\_\_\_

NOMBRE, IDENTIFICACION Y FIRMA DE RECIBIDO \_\_\_\_\_

NOMBRE Y FIRMA DEL FUNCIONARIO DE LA AUTORIDAD AMBIENTAL \_\_\_\_\_

OBSERVACIONES \_\_\_\_\_

FIGURE D-18 Example of Colombia CITES Permit/Certificate for Export/Re-export/Import/Other





## Congo CITES Permit for Export/Import

| CONVENTION SUR LE COMMERCE<br>INTERNATIONAL DES ESPECES<br>DE FAUNE ET DE FLORE<br>SAUVAGE MENACEE<br>D'EXTINCTION                                  |      | <input type="checkbox"/> EXPORTATION  | 1. PERMIS ORIGINAL<br>N°                    |  |
|---|------|---|---|--|
|   |      | <input type="checkbox"/> REEXPORTATION  | 2. Valable jusqu'au                         |  |
| 3. DESTINATAIRE (nom et Adresse, pays)  |      | 4. TITULAIRE (nom et adresse, pays)   |   |  |
| 5. Conditions particulières   |      | 6. Noms, adresse, cachet-sceau national<br>et pays de l'organe de gestion.                                  |   |  |
| 7 8. NOM COMMUN ET NOM<br>SCIENTIFIQUE (genre et espèce de<br>l'animal ou de la plante).  |      | 9. Description des<br>parties ou produits<br>marques ou numéros<br>d'identification<br>(âge sexe si vivant) | Annexe et provenance<br>(W, C, A ou O)      | 11. Quantité<br>Nombre de spécimen<br>et ou poids net (Kg) |
| A   |      | Pays d'origine  | Permis N°                                   |  |
| B   |      | Pays d'origine  | Permis N°                                   |  |
| C   |      | Pays d'origine  | Permis N°                                   |  |
| D   |      | Pays d'origine  | Permis N°                                   |  |
| 12. pays dans lesquels les spécimen ont été prélevés dans la nature, sont nés et ont été élevés en captivité<br>ou été reproduits artificiellement. |      |   |   |  |
| 12. CE PERMIS EST DELIVRE PAR L'AUTORITE SUIVANTE :   |      |   |   |  |
| Lien  | Date | Signature   | Cachet et titre officiel                    |  |
| 14. APPROBATION DE L'EXPLOITATION   |      |   | 15. Connaissance Lettre de transport aérien |  |
| Voir rubrique 7 : Quantité  |      |   |   |  |
| A   |      |   |   |  |
| B   |      |   |   |  |
| C   |      |   |   |  |
| D   |      |   |   |  |
| Port d'exploitation   | Date | Signature   | Cachet et titre officiel                    |  |

FIGURE D-19 Example of Congo CITES Permit for Export/Import

## Congo CITES Permit/Certificate for Export/Re-export/Import/Other

|  <b>CONVENTION SUR LE COMMERCE INTERNATIONAL DES ESPÈCES DE FAUNE ET DE FLORE SAUVAGES MENACÉES D'EXTINCTION</b>  |          | <b>PERMIS / CERTIFICAT N°</b> 0004   |          |   |  |   |  |   |  |   |  |  |  |
|--|----------|--|----------|---|--|---|--|---|--|---|--|--|--|
| <input type="checkbox"/> EXPORTATION<br><input type="checkbox"/> REEXPORTATION<br><input type="checkbox"/> IMPORTATION<br><input type="checkbox"/> AUTRE:  |          | <b>Original</b><br>2. Valable jusqu'au   |          |   |  |   |  |   |  |   |  |  |  |
| 3. Importateur (nom et adresse)  |          | 4. Exportateur (nom et adresse, pays)  |          |   |  |   |  |   |  |   |  |  |  |
| 3a. Pays d'importation   |          | 6. Nom, adresse, cachet/sceau national et pays de l'organe de gestion  |          |   |  |   |  |   |  |   |  |  |  |
| 5. Conditions particulières<br><br><small>Pour les animaux vivants, ce permis ou certificat n'est valable que si les conditions de transport sont conformes aux Lignes directrices pour le transport des animaux vivants ou, en cas de transport aérien, à la Réglementation IATA du transport des animaux vivants.</small>                                  |          |  <b>Ministère des affaires foncières, environnement et tourisme</b><br><b>15, avenue Papa ILEO (ex Cliniques)</b><br><b>KINSHASA / GOMBE</b><br><b>République Démocratique du Congo</b> |          |   |  |   |  |   |  |   |  |  |  |
| 5a. But de la transaction (voir au dos)  |          | 5b. N° du timbre de sécurité   |          |   |  |   |  |   |  |   |  |  |  |
| 7./8. NOM COMMUN ET NOM SCIENTIFIQUE (genre et espèce) DE L'ANIMAL OU DE LA PLANTE   |          | 9. Description des parties ou produits marqués ou numéros d'identification (s'agisse si vivant)  |          |   |  |   |  |   |  |   |  |  |  |
| 10. Annexe et source (voir au dos)   |          | 11. Quantité (y compris l'unité)   |          |   |  |   |  |   |  |   |  |  |  |
| 11a. Total exporté, quota  |          |  |          |   |  |   |  |   |  |   |  |  |  |
| 7./8.  |          | 9.   |          |   |  |   |  |   |  |   |  |  |  |
| 10.  |          | 11.  |          |   |  |   |  |   |  |   |  |  |  |
| 11a.   |          |  |          |   |  |   |  |   |  |   |  |  |  |
| A  |          |  |          |   |  |   |  |   |  |   |  |  |  |
| 12. Pays d'origine * N° permis Date  |          | 12a. Pays de provenance N° certificat Date   |          |   |  |   |  |   |  |   |  |  |  |
|  |          | 12b. N° de l'établissement * * ou date de l'acquisition * * *  |          |   |  |   |  |   |  |   |  |  |  |
| B  |          |  |          |   |  |   |  |   |  |   |  |  |  |
| 12. Pays d'origine * N° permis Date  |          | 12a. Pays de provenance N° certificat Date   |          |   |  |   |  |   |  |   |  |  |  |
|  |          | 12b. N° de l'établissement * * ou date de l'acquisition * * *  |          |   |  |   |  |   |  |   |  |  |  |
| C  |          |  |          |   |  |   |  |   |  |   |  |  |  |
| 12. Pays d'origine * N° permis Date  |          | 12a. Pays de provenance N° certificat Date   |          |   |  |   |  |   |  |   |  |  |  |
|  |          | 12b. N° de l'établissement * * ou date de l'acquisition * * *  |          |   |  |   |  |   |  |   |  |  |  |
| D  |          |  |          |   |  |   |  |   |  |   |  |  |  |
| 12. Pays d'origine * N° permis Date  |          | 12a. Pays de provenance N° certificat Date   |          |   |  |   |  |   |  |   |  |  |  |
|  |          | 12b. N° de l'établissement * * ou date de l'acquisition * * *  |          |   |  |   |  |   |  |   |  |  |  |
| * Pays dans lequel les spécimens ont été prélevés dans la nature, sont nés et ont été élevés en captivité ou reproduits artificiellement (seulement en cas de réexportation)<br>* * Uniquement pour les spécimens de l'Annexe I nés et élevés en captivité ou reproduits artificiellement à des fins commerciales<br>* * * Pour les spécimens pré-Convention |          |  |          |   |  |   |  |   |  |   |  |  |  |
| 13. CE PERMIS EST DELIVRE PAR L'AUTORITE SUIVANTE  |          |  |          |   |  |   |  |   |  |   |  |  |  |
| Lieu _____ Date _____ Timbre de sécurité, signature et cachet officiel _____   |          |  |          |   |  |   |  |   |  |   |  |  |  |
| 14. APPROBATION DE L'EXPORTATION   |          | 15. Connaissance/Lettre de transport aérien  |          |   |  |   |  |   |  |   |  |  |  |
| <table border="1"> <thead> <tr> <th>Spéc</th> <th>Quantité</th> </tr> </thead> <tbody> <tr> <td>A</td> <td></td> </tr> <tr> <td>B</td> <td></td> </tr> <tr> <td>C</td> <td></td> </tr> <tr> <td>D</td> <td></td> </tr> </tbody> </table>   |          | Spéc   | Quantité | A |  | B |  | C |  | D |  | Port d'exportation _____ Date _____ Signature _____ Cachet et titre officiel _____ |  |
| Spéc   | Quantité |  |          |   |  |   |  |   |  |   |  |  |  |
| A  |          |  |          |   |  |   |  |   |  |   |  |  |  |
| B  |          |  |          |   |  |   |  |   |  |   |  |  |  |
| C  |          |  |          |   |  |   |  |   |  |   |  |  |  |
| D  |          |  |          |   |  |   |  |   |  |   |  |  |  |


**CITES PERMIS / CERTIFICAT N°** 0001

FIGURE D-20 Example of Congo Republic CITES Permit/Certificate for Export/Re-export/Import/Other



## Costa Rica CITES Permit for Export/Re-export

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**CONVENCION SOBRE EL COMERCIO  
INTERNACIONAL DE ESPECIES  
AMENAZADAS DE FAUNA Y FLORA  
SILVESTRES**

☐ EXPORTACION  
☐ REEXPORTACION

**1. PERMISO Original**  
No. \_\_\_\_\_


2. Valido hasta el: \_\_\_\_\_

| <p>3. Destinatario (nombre y dirección, país)</p><br><br><br>  | <p>4. Titular (nombre y dirección, país)</p><br><br><br>  |          |   |  |   |  |   |  |   |  |   |
|--|---|----------|---|--|---|--|---|--|---|--|---|
| <p>5. Condiciones especiales</p><br><br><br>   | <p>6. Nombre, dirección, sello/timbre nacional y país de la Autoridad Administrativa</p> <div style="text-align: center;"> <p>San José, Costa Rica<br/>Apto. 101.04</p>  <p>REPÚBLICA DE COSTA RICA<br/><b>Ministerio de Recursos Naturales,<br/>Energía y Minas</b><br/>Autoridad Administrativa CITES</p> </div> |          |   |  |   |  |   |  |   |  |   |
| <p>7./8. NOMBRE COMUN Y NOMBRE CIENTÍFICO (género y especie)<br/>DEL ANIMAL O PLANTA</p>   | <p>9. Descripción parte o partes:<br/>marcas o números de identificación<br/>(si son todos/una de ellos)</p>  |          |   |  |   |  |   |  |   |  |   |
| <p>A</p>   | <p>10. Apéndice No. y<br/>Presidencia (W.C.A. o D)</p>  |          |   |  |   |  |   |  |   |  |   |
| <p>B</p>   | <p>11. Cantidad: número de especímenes<br/>y/o peso neto (Kg)</p>   |          |   |  |   |  |   |  |   |  |   |
| <p>C</p>   | <p>País de origen *   Permiso No.</p>   |          |   |  |   |  |   |  |   |  |   |
| <p>D</p>   | <p>País de origen *   Permiso No.</p>   |          |   |  |   |  |   |  |   |  |   |
| <p>12. País en el cual especímenes fueron capturados o recolectados en la naturaleza, nacidos y criados en cautividad o reproducidos artificialmente.</p>  | <p>13. ESTE PERMISO ES EMITIDO POR LA AUTORIDAD SIGUIENTE.</p>  |          |   |  |   |  |   |  |   |  |   |
| <p>_____<br/>Lugar</p>   | <p>_____<br/>Fecha</p>  |          |   |  |   |  |   |  |   |  |   |
| <p>_____<br/>Firma</p>   | <p>_____<br/>Sello y cargo oficiales</p>  |          |   |  |   |  |   |  |   |  |   |
| <p>14. APROBACION DE LA EXPORTACION:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Ver Items 7</th> <th>Cantidad</th> </tr> </thead> <tbody> <tr> <td>A</td> <td></td> </tr> <tr> <td>B</td> <td></td> </tr> <tr> <td>C</td> <td></td> </tr> <tr> <td>D</td> <td></td> </tr> </tbody> </table> | Ver Items 7   | Cantidad | A |  | B |  | C |  | D |  | <p>15. Conocimiento de embarque/carta de porte aéreo:</p> |
| Ver Items 7  | Cantidad  |          |   |  |   |  |   |  |   |  |   |
| A  |   |          |   |  |   |  |   |  |   |  |   |
| B  |   |          |   |  |   |  |   |  |   |  |   |
| C  |   |          |   |  |   |  |   |  |   |  |   |
| D  |   |          |   |  |   |  |   |  |   |  |   |
| <p>_____<br/>Puerto de exportación</p>   | <p>_____<br/>Fecha</p>  |          |   |  |   |  |   |  |   |  |   |
| <p>_____<br/>Firma</p>   | <p>_____<br/>Sello y cargo oficiales</p>  |          |   |  |   |  |   |  |   |  |   |

277-E - L'Hno. Imp. Cora. S. A.

FIGURE D-21 Example of Costa Rica CITES Permit for Export/Re-export

## Cote d'Ivoire CITES Permit/Certificate for Export/Re-export/Import/Other



**CONVENTION SUR LE COMMERCE  
INTERNATIONAL DES ESPÈCES DE  
FAUNE ET DE FLORE SAUVAGES  
MENACÉES D'EXTINCTION**

**PERMIS / CERTIFICAT N° 00000**

☐ EXPORTATION  
☐ REEXPORTATION  
☐ IMPORTATION  
☐ AUTRE:

Original

2. Valable jusqu'au

3. Importateur (nom et adresse)

---

3a. Pays d'importation

---


5. Conditions particulières

Pour les animaux vivants, ce permis ou certificat n'est valable que si les conditions de transport sont conformes aux Lignes directrices pour le transport des animaux vivants ou, en cas de transport aérien, à la Réglementation IATA du transport des animaux vivants.

4. Exportateur/réexportateur (nom et adresse, pays)

---

6. Nom, adresse, cachet/soseau national et pays de l'organe de gestion



Direction de la protection de la nature  
Ministère de l'Environnement  
et de la Forêt  
B.P. V 178  
Abidjan  
CÔTE D'IVOIRE

5a. But de la transaction (voir au dos)

5b. N° du timbre de sécurité

| 7/8. NOM COMMUN ET NOM SCIENTIFIQUE (genre et espèce)<br>DE L'ANIMAL OU DE LA PLANTE | 9. Description des parties ou produits<br>marqués ou numéros d'identification<br>(spéciaux si vivant) | 10. Annexe et<br>sources<br>(voir au dos) | 11. Quantité (et unité) | 11a. Total exporté/<br>quota |
|--|---|---|-------------------------|------------------------------|
| A  |   |   |                         |                              |
| B  |   |   |                         |                              |
| C  |   |   |                         |                              |
| D  |   |   |                         |                              |

12. Pays d'origine \*

N° du permis

Date

12a. Pays de provenance

N° du certificat

Date

12b. N° de l'établissement \* \* ou  
date de l'acquisition \* \* \*

\* Pays dans lequel les spécimens ont été prélevés dans la nature, sont nés et ont été élevés en captivité ou reproduits artificiellement (seulement en cas de réexportation)  
 \* \* Uniquement pour les spécimens couverts par l'Annexe I nés et élevés en captivité ou reproduits artificiellement à des fins commerciales  
 \* \* \* Pour les spécimens pré-Convention

13. CE PERMIS EST DÉLIVRÉ PAR L'AUTORITÉ SUIVANTE:

Lieu

Date

Timbre de sécurité, signature et cachet officiel

14. APPROBATION DE L'EXPORTATION:

| Bloc | Quantité |
|------|----------|
| A    |          |
| B    |          |
| C    |          |
| D    |          |

15. Connaissance/Lettre de transport aérien:

Port d'exportation/  
réexportation


Date

Signature

Cachet et titre officiel

FIGURE D-22 Example of Cote d'Ivoire CITES Permit/Certificate for Export/Re-export/Import/Other (blank)

## Cuba CITES Permit for Export/Re-export/Import



**CONVENCION SOBRE EL COMERCIO  
INTERNACIONAL DE ESPECIES  
AMENAZADAS DE FAUNA Y FLORA  
SILVESTRES**

☐ EXPORTACION  
☐ RE-EXPORTACION  
☐ IMPORTACION

PERMISO N° A-00000

Original

2. Válido hasta el

3. Destinatario (nombre y dirección)

---

3a. País de destino

---


5. Condiciones especiales

Para animales vivos: Este permiso es válido sólo si las condiciones de transporte se ajustan a las directrices CITES sobre el transporte de animales vivos o, en caso del transporte aéreo, a la reglamentación de la IATA sobre el transporte de animales vivos.

4. Titular (nombre y dirección, país)

---

5. Nombre, dirección, sello/timbre nacional y país de la Autoridad Administrativa



**Ministerio de la Agricultura  
Conill y Ave. Independencia  
Plaza de la Revolución  
CIUDAD DE LA HABANA  
República de Cuba**

| 7./8. NOMBRE COMUN Y NOMBRE CIENTIFICO (género y especie)<br>DEL ANIMAL O PLANTA | 9. Descripción parte o derivado; marcas o<br>números de identificación (edad/sexo si<br>vivos) | 10. Apéndice N° y<br>procedencia<br>(W.C.A. o O) | 11a. Cantidad: número<br>de especímenes<br>y/o peso neto (Kg.) | 11b. saldo del cupo/<br>cupo anual<br>nacional |
|--|--|--|--|--|
| A.   |  |  |  |  |
|  |  | 12. País de origen: Permiso N° y fecha           |  |  |
| B.   |  |  |  |  |
|  |  | 12. País de origen: Permiso N° y fecha           |  |  |
| C.   |  |  |  |  |
|  |  | 12. País de origen: Permiso N° y fecha           |  |  |
| D.   |  |  |  |  |
|  |  | 12. País de origen: Permiso N° y fecha           |  |  |
| E.   |  |  |  |  |
|  |  | 12. País de origen: Permiso N° y fecha           |  |  |
| F.   |  |  |  |  |
|  |  | 12. País de origen: Permiso N° y fecha           |  |  |

\* Indicar el país en el cual los especímenes fueron capturados o recolectados en la naturaleza, nacidos y criados en cautividad o reproducidos artificialmente (sólo en caso de reexportación).

13. ESTE PERMISO ES EMITIDO POR LA AUTORIDAD SIGUIENTE:

Lugar

Fecha

Firma

Sello y cargo oficiales

Estampilla de seguridad

14. APROBACION DE LA EXPORTACION:

| Ver ítem 7 | Cantidad |
|------------|----------|
| A          |          |
| B          |          |
| C          |          |
| D          |          |
| E          |          |
| F          |          |

15. Conocimiento de embarque/carta de porte aéreo:

Puerto de exportación


Fecha

Firma

Sello y cargo oficiales

FIGURE D-23 Example of Cuba CITES Permit for Export/Re-export/Import (blank)

## Ecuador CITES Permit for Export/Re-export/Import



**CONVENTION ON  
INTERNATIONAL TRADE IN  
ENDANGERED SPECIES OF  
WILD FAUNA AND FLORA**

☐ EXPORTACION  
EXPORT  
☐ REEXPORTACION  
RE-EXPORT  
☐ IMPORTACION  
IMPORT

1 PERMISO ORIGINAL UNICO VALIDE  
Original Permit Valid

2 VALIDO HASTA EL  
Valid Until

3 DESTINATARIO NOMBRE Y DIRECCION PAIS:  
Consignee name and address, country

4 TITULAR NOMBRE Y DIRECCION PAIS:  
Consignor name and address, country

5 CONDICIONES ESPECIALES  
Special conditions  
Pago Derechos Consignatario  
Payment and Duties, Total No

Cuando No

Exoneración Derechos  
Fee of Consignor Si ☐ YES  
No ☐ NO

Signo funcionario registradario  
Registration Officer

6 NOMBRE DIRECCION SELLO/TIMBRE NACIONAL DE LA AUTORIDAD ADMINISTRATIVA  
Name address stamp/stamps of the administrative authority  
PROGRAMA NACIONAL FORESTAL

| 7 NOMBRE COMUN DEL ANIMAL<br>Common name of the animal | 8 NOMBRE CIENTIFICO DEL ANIMAL<br>Scientific name of the animal<br>GÉNERO Género ESPECIE Species | 9 DESCRIPCION PARTE O DERIVADO<br>PARTES O NUMEROS DE IDENTIFI-<br>CACION (EDAD SEXO SI VIVOS)<br>Description parts or derivative<br>parts or identity number<br>age sex if alive | 10 APENDICE No y<br>PROVENIENCIA<br>No CA y DI<br>Appendix No and | 11 CANTIDAD NUMEROS DE<br>ESPECIMENES O PESO<br>NETO (kg) no de piezas<br>Quantity number of<br>net items or g etc |
|--|--|---|---|--|
| A  |  |   |   |  |
|  |  |   |   |  |
|  |  |   |   |  |
|  |  |   | PAIS DE ORIGEN<br>Country of origin                               | PERMISO No<br>Permit No  |
| B  |  |   |   |  |
|  |  |   |   |  |
|  |  |   | PAIS DE ORIGEN<br>Country of origin                               | PERMISO No<br>Permit No  |
|  |  |   |   |  |
|  |  |   | PAIS DE ORIGEN<br>Country of origin                               | PERMISO No<br>Permit No  |
|  |  |   |   |  |
|  |  |   | PAIS DE ORIGEN<br>Country of origin                               | PERMISO No<br>Permit No  |
|  |  |   |   |  |
|  |  |   | PAIS DE ORIGEN<br>Country of origin                               | PERMISO No<br>Permit No  |
|  |  |   |   |  |
|  |  |   | PAIS DE ORIGEN<br>Country of origin                               | PERMISO No<br>Permit No  |
|  |  |   |   |  |
|  |  |   | PAIS DE ORIGEN<br>Country of origin                               | PERMISO No<br>Permit No  |
|  |  |   |   |  |

12 PAISEN EL CUAL LOS ESPECIMENES FUERON CAPTURADOS O RECOLECTADOS EN LA NATURALEZA NACIDOS Y CRIADOS O REPRODUcidos ARTI-  
FICIALMENTE Country where specimens were captured or collected in the wild, born raised in captivity or reproduction artificial

13 ESTE PERMISO ES EMITIDO POR LA AUTORIDAD SIGUIENTE The permit is given by the following authority

LUGAR PAIS  
Place Country

FECHA DIA  
Date

FIRMA SIGNATARIO  
Signature

AUTORIDAD ADMINISTRATIVA  
ECUATORIANA "CITES"

SELLO Y CARGOS OFICIALES  
Seal and official rank

14 APROBACION DE LA EXPORTACION  
Approval of export

| VER ITEM 7<br>See item 7 | CANTIDAD<br>Quantity |
|--------------------------|----------------------|
| A                        |                      |
| B                        |                      |
| C                        |                      |
| D                        |                      |

PUERTO DE IMPORTACION / Port of import

15 CONOCIMIENTO DE EMBAQUE/CAJA SEGUN ART 10  
Knowledge of packaging/crate of the items


FECHA DIA  
Date


FIRMA SIGNATARIO  
Signature


SELLO Y CARGOS OFICIALES  
Seal and official rank

FIGURE D-24 Example of Ecuador CITES Permit for Export/Re-export/Import

## El Salvador CITES Permit for Export/Re-export/Import







Convención sobre el Comercio Internacional de Especies Amenazadas de Fauna y Flora Silvestres  
Convention on the International Trade in Endangered Species

**MINISTERIO DE AGRICULTURA Y GANADERIA**  
 República de El Salvador  
 Republic of El Salvador

1) Permiso Original  
Original Permit

No. \_\_\_\_\_

Serie A No. **0192**

2) Válido hasta el  
Valid Until - Void After

3) Destinatario (Nombre, Dirección, País)  
Consignee (Name, Address, Country)

4) Exportador (Nombre - Dirección) (Solicitante Applicant)  
Exporter (Name - Address)

5) Nombre y Dirección de las Autoridades Administrativas:  
Name and Address of the Administrative Authority:

a) Director General de Sanidad Vegetal y Animal  
b) Jefe de División de Cuarentena Agropecuaria  
Dirección General de Sanidad Vegetal y Animal  
Cantón El Matizano, Soyapango, San Salvador  
Teléfonos: 224-3491; 224-1537; 294-0592  
Fax: 224-2782

**TIMBRE DE SEGURIDAD CITES**  
SECURITY STAMP CITES

| 6) NOMBRE COMUN<br>COMMON NAME | 7) NOMBRE CIENTIFICO<br>SCIENTIFIC NAME | 8) OTRA DESCRIPCION (Sexo, Edad, Marcas)<br>OTHER DESCRIPTION (Sex, age, markings) | 9) APENDICE No. Y ORIGEN<br>APPENDIX No. AND ORIGIN | 10) CANTIDAD<br>QUANTITY |
|--------------------------------|---|--|---|--------------------------|
|                                |   |  |   |                          |
|                                |   |  |   |                          |
|                                |   |  |   |                          |
|                                |   |  |   |                          |
|                                |   |  |   |                          |
|                                |   |  |   |                          |

11) País en el cual los Especímenes fueron:  
Country in which the Specimens were

A) Capturados o Recolectados en la Naturaleza.  
A) Captured or Recollected in the Wilds.

B) Nacidos en Captividad, o  
B) Born and Raised in Captivity, or

C) Reproducidos Artificialmente  
C) Reproduced Artificially.

A)

B)

C)

12) Este permiso es emitido por la Autoridad siguiente. / This permit is issued by the following Authority

LUGAR  
PLACE

FECHA  
DATE

FIRMA  
SIGNATURE AUTORIDAD ADMINISTRATIVA

---

PARA USO EN PUERTO DE SALIDA  
FOR USE AT EXIT PORT

13) Conocimiento de Embarque / Carta de Porte / Guía Aéreo No.  
Shipping Manifest / Bill Lading / Air Way Bill No.

FECHA/DATE

FIRMA/SIGNATURE

SELLO Y CARGO/SEAL Y TITLE

NOTA: Este permiso es válido con sólo una de las firmas de las Autoridades Administrativas.

ORIGINAL

FIGURE D-25 Example of El Salvador CITES Permit for Export/Re-export/Import

## European Community CITES Export Permit


| European Community   |                         |                  |               | EXPORT PERMIT   |              |                   | No. <b>B</b>            |  |
|--|-------------------------|------------------|---------------|---|--------------|-------------------|-------------------------|--|
|  <b>Convention on International Trade in Endangered Species of Wild Fauna and Flora</b> |                         |                  |               |   |              |                   | 1. Last day of validity |  |
| 3. Exporter  |                         |                  |               | 2. Importer   |              |                   |                         |  |
| 4. Country of import   |                         |                  |               | 5. Country of export  |              |                   |                         |  |
| 6. Authorised location for live specimens of Annex A species   |                         |                  |               | 7. Issuing Management Authority<br><b>WILDLIFE LICENSING &amp; REGISTRATION SERVICE<br/>           DEPARTMENT OF THE ENVIRONMENT<br/>           TOLLGATE HOUSE<br/>           HOULTON STREET<br/>           BRISTOL BS2 9DJ</b> |              |                   |                         |  |
| 8. Description of specimen(s)  |                         |                  |               | 9. Scientific name of species<br>10. Common name of species   |              |                   |                         |  |
| 11. Country of Origin  | Permit Number           | Date of issue    | 13. CITES App | 14. Source  | 15. CN Code  |                   |                         |  |
| 12. Country of last re-export  | Certificate Number      | Date of issue    | 16. EC Annex  | 17. Purpose   | 18. Quantity | 19. Net Mass (Kg) |                         |  |
| 21. Special Conditions   |                         |                  |               | 20. The exportation of the goods described above is hereby permitted, subject to the conditions overleaf and in box 21, as appropriate.   |              |                   |                         |  |
|  |                         |                  |               | <div style="border: 1px solid black; height: 60px; width: 100%;"></div> Signature and official stamp  |              |                   |                         |  |
|  |                         |                  |               | Name of issuing Officer   |              |                   |                         |  |
|  |                         |                  |               | Place and date of issue   |              |                   |                         |  |
| 22. For customs purposes only  |                         |                  |               | Bill of Lading/Air Waybill No.:   |              |                   |                         |  |
| Quantity Exported  |                         | Customs document |               |   |              |                   |                         |  |
| Cty/Net Mass (Kg)  | Animals dead on arrival | Type             |               |   |              |                   |                         |  |
|  |                         | Number           |               |   |              |                   |                         |  |
|  |                         | Date             |               |   |              |                   |                         |  |
|  |                         |                  |               | <div style="border: 1px solid black; height: 40px; width: 100%;"></div> Signature and official stamp  |              |                   |                         |  |

FIGURE D-26 Example of European Community CITES Export Permit

## France European Community CITES Permit/Certificate for Import/Export/Re-export


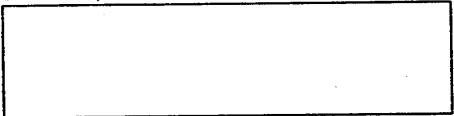
| COMMUNAUTÉ EUROPÉENNE (FR)                    |   | N° 10592*01  |                                    |  |  |                                      |  |
|---|---|--|------------------------------------|--|--|--------------------------------------|--|
| Original                                      | 1. Exportateur/réexportateur  | <b>PERMIS/CERTIFICAT</b><br><input type="checkbox"/> IMPORTATION<br><input type="checkbox"/> EXPORTATION<br><input type="checkbox"/> RÉEXPORTATION   |                                    |  |  |                                      |  |
|   | 3. Importateur  | N°<br>2. Dernier jour de validité  |                                    |  |  |                                      |  |
|   | 6. Emplacement autorisé des spécimens vivants des espèces inscrites à l'annexe A, prélevés dans leur milieu naturel   |  Convention sur le commerce international des espèces de flore et de faune sauvages menacées d'extinction |                                    |  |  |                                      |  |
|   | 7. Autorité de délivrance   | 4. Pays (ré)exportateur<br>5. Pays importateur   |                                    |  |  |                                      |  |
| 1   | 8. Description des spécimens (marques, sexe/date de naissance des animaux vivants)  | 9. Masse nette (kg)  | 10. Quantité                       |  |  |                                      |  |
|   |   | 11. Annexe CITES   | 12. Annexe CE                      |  |  |                                      |  |
|   |   | 13. Origine  | 14. Objet                          |  |  |                                      |  |
|   |   | 15. Pays d'origine   |                                    |  |  |                                      |  |
|   |   | 16. Numéro du permis   | 17. Date de délivrance             |  |  |                                      |  |
|   |   | 18. Pays de dernière réexportation   |                                    |  |  |                                      |  |
|   |   | 19. Numéro du certificat   | 20. Date de délivrance             |  |  |                                      |  |
|   | 21. Nom scientifique de l'espèce  |  |                                    |  |  |                                      |  |
|   | 22. Nom commun de l'espèce  |  |                                    |  |  |                                      |  |
|   | 23. Conditions spéciales  |  |                                    |  |  |                                      |  |
|   | Ce permis/certificat n'est valable que si les animaux vivants sont transportés conformément aux lignes directrices de la CITES en matière de transport et de préparation à l'envoi d'animaux sauvages vivants ou, en cas de transport aérien, conformément à la réglementation sur les animaux vivants publiée par l'IATA (Association du transport aérien international) |  |                                    |  |  |                                      |  |
|   | 24. La documentation de (ré)exportation délivrée par le pays de (ré)exportation<br><input type="checkbox"/> a été présentée à l'autorité de délivrance<br><input type="checkbox"/> doit être présentée au bureau de douane frontalier d'introduction  | 25. <input type="checkbox"/> L'importation <input type="checkbox"/> L'exportation <input type="checkbox"/> La réexportation des marchandises décrites ci-dessus est autorisée.             |                                    |  |  |                                      |  |
|   |    | Signature et cachet officiel :<br><br>Nom du fonctionnaire chargé de la délivrance :<br><br>Lieu et date de délivrance :   |                                    |  |  |                                      |  |
|   | 26. Numéro du connaissance/de la lettre de transport aérien :   | Signature et cachet officiel :   |                                    |  |  |                                      |  |
|   | 27. Réserve à la douane   | Document douanier  |                                    |  |  |                                      |  |
|   | <table border="1"> <tr> <td>Quantité/masse nette (kg) réellement importée</td> <td>Nombre d'animaux morts à l'arrivée</td> </tr> <tr> <td></td> <td></td> </tr> </table>  | Quantité/masse nette (kg) réellement importée  | Nombre d'animaux morts à l'arrivée |  |  | Type :<br><br>Numéro :<br><br>Date : |  |
| Quantité/masse nette (kg) réellement importée | Nombre d'animaux morts à l'arrivée  |  |                                    |  |  |                                      |  |
|   |   |  |                                    |  |  |                                      |  |

FIGURE D-27 Example of European Community France CITES Permit/Certificate for Import/Export/Re-export

## Germany European Community CITES Permit/Certificate for Import/Export/Re-export

| EUROPÄISCHE GEMEINSCHAFT / EUROPEAN COMMUNITY   |  | No. 2002/015 Mar. 6, 2002   |                          |
|---|--|---|--------------------------|
| ORIGINAL / ORIGINAL   | 1. Ausfuhrer/Wiederausfuhrer / Exporter/Re-exporter  | <b>GENEHMIGUNG/BESCHEINIGUNG</b><br><b>PERMIT/CERTIFICATE</b><br><input type="checkbox"/> <b>EINFUHR / IMPORT</b><br><input type="checkbox"/> <b>AUSFUHR / EXPORT</b><br><input type="checkbox"/> <b>WIEDERAUSFUHR / RE-EXPORT</b>  |                          |
|   | 3. Einfuhrer / Importer  | <b>CITES</b> Übereinkommen über den internationalen Handel mit gefährdeten Arten freilebender Tiere und Pflanzen<br><i>Convention on international Trade in Endangered Species of Wild Fauna and Flora</i>  |                          |
|   | 6. Ort, an dem lebende, der Natur entnommene Exemplare von Arten in Anhang A gehalten werden sollen / Authorized location for live wild-taken specimens of Annex A species     | <b>BUNDESAMT FÜR NATURSCHUTZ</b><br><b>Konstantinstraße 110</b><br><b>D-53179 BONN</b>  |                          |
|   | 8. Beschreibung der Exemplare (inschl. Kennzeichnung, Geschlecht und Geburtsdatum lebender Tiere) / Description of specimens (incl. marks, sex/date of birth for live animals) | <b>AM</b><br><b>AM</b><br><b>AM</b>   |                          |
| 9. Nettomasse (kg) / Net mass (kg)  | 10. Menge / Quantity   | 11. CITES-Anhang / CITES Annex  | 12. EG-Anhang / EC Annex |
| 13. Herkunft / Source   | 14. Zweck / Purpose  | 15. Ursprungsland / Country of origin   |                          |
| 16. Genehmigung Nr. / Permit No.  | 17. Ausstellungsdatum / Date of issue  | 18. Letztes Wiederausfuhrland / Country of last re-export   |                          |
| 19. Bescheinigung Nr. / Certificate No.   | 20. Ausstellungsdatum / Date of issue  | 21. Wissenschaftlicher Artname / Scientific name of species   |                          |
| 22. Üblicher Artname / Common name of species   |  |   |                          |
| 23. Sonderbedingungen / Special conditions  |  |   |                          |
| <p>Diese Genehmigung/Bescheinigung gilt nur, wenn lebende Tiere oder Einnahme der CITES-Leitlinien für den Transport und die Vorbereitung des Transports von lebenden Wildtieren oder, im Falle eines Lufttransports, der Vorschriften des Internationalen Luftverkehrsverbandes (IATA) für den Transport lebender Tiere befolgt werden. / This permit/certificate is only valid if live animals are transported in compliance with the CITES Guidelines for the transport and preparation for shipment of live wild animals or, in the case of air transport, the Live Animals Regulation published by the International Air Transport Association (IATA).</p> |  |   |                          |
| 24. Die (Wieder-)Ausfuhrunterlagen des (Wieder-)Ausfuhrlandes / (re-)export documentation from the country of (re-)export   |  | 25. Die (Wieder-)Einfuhr / (re-)importation   |                          |
| <input type="checkbox"/> wurde der ausstellenden Behörde vorgelegt / has been surrendered to the issuing authority<br><input type="checkbox"/> sind der Einfuhrzollstelle vorzulegen / has to be surrendered to the border customs office of introduction   |  | <input type="checkbox"/> Einfuhr / importation<br><input type="checkbox"/> Ausfuhr / exportation<br><input type="checkbox"/> Wiederausfuhr / re-exportation<br>der oben beschriebenen Waren wird hiermit genehmigt / of the goods described above is hereby permitted<br>Unterschrift und Stempel der Behörde / Signature and official stamp: |                          |
| 26. Frachtticket/Luftfrachtbrief-Nr. / Bill of Lading / Air Waybill Number  |  | Name des ausstellenden Beamten / Name of issuing official:  |                          |
| 27. Nur für die Verzollung / For customs use only   |  | Ort und Datum der Ausstellung / Place and date of issue:  |                          |
| Tatsächlich angeführte Menge / Net mass (kg) / Quantity<br>Netto-/Bruttomasse (kg) / Net/Gross mass (kg) actually reported  |  | Anzahl der bei Ankunft toten Tiere / Number of animals dead on arrival<br>Typ: / Type:<br>Anzahl: / Number:<br>Datum: / Date:   |                          |

FIGURE D-28 Example of Germany European Community CITES Permit/Certificate for Import/Export/Re-export



## Ghana CITES Permit/Certificate for Export/Re-export/Import/Other

**CITES** CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA

PERMIT / CERTIFICATE No. 000001

☐ EXPORT  
☐ RE-EXPORT  
☐ IMPORT  
☐ OTHER:

Original

2. Valid until

3. Importer (name and address)

4. Exporter (name and address)

5a. Country of import

5. Special conditions

a. This permit is valid for six months from the date of issue  
b. This permit is not transferable  
c. Shipment is to be made in a single consignment  
d. Possession of this permit does not exempt the holder from compliance with other laws relating to the export of animals and trophies  
e. Your attention is drawn to the Wildlife Conservation Regulation, 1971 (L.I. 685) and its amendments copies of which may be examined at the office of issue of this permit  
f. For live animals, this permit or certificate is only valid if the transport conditions conform to the Guidelines for Transport of Live Animals or, in the case of air transport, to the IATA Live Animals Regulations.  
g. Other conditions

6. Signature of the applicant

**Wildlife Division**  
(Forestry Commission)  
P.O. Box M/239  
Accra  
Ghana, West Africa  
Tel 233-21-664654, 662360  
Fax 233-21-666476  
E-mail: wildlife@ncs.com.gh

5a. Purpose of the transaction (see reverse) 5b. Security stamp N<sup>o</sup>

| 7/8. SCIENTIFIC NAME (genus and species) AND COMMON NAME OF ANIMAL OR PLANT | 9. Description of specimens, including identifying marks or numbers (age/sex if live) | 10. Appendix No. and source (see reverse)               | 11. Quality (including unit) | 11a. Total exported Quota |
|---|---|---|------------------------------|---------------------------|
| 7/8.  | 9.  | 10.   | 11.                          | 11a.                      |
| A 12. Country of origin* Permit No. Date                                    | 12a. Country of last re-export Certificate No. Date                                   | 12b. No. of the operation ** or date of acquisition *** |                              |                           |
| 7/8.  | 10.   | 11.   | 11a.                         |                           |
| B 12. Country of origin* Permit No. Date                                    | 12a. Country of last re-export Certificate No. Date                                   | 12b. No. of the operation ** or date of acquisition *** |                              |                           |
| 7/8.  | 10.   | 11.   | 11a.                         |                           |
| C 12. Country of origin* Permit No. Date                                    | 12a. Country of last re-export Certificate No. Date                                   | 12b. No. of the operation ** or date of acquisition *** |                              |                           |
| 7/8.  | 10.   | 11.   | 11a.                         |                           |
| D 12. Country of origin* Permit No. Date                                    | 12a. Country of last re-export Certificate No. Date                                   | 12b. No. of the operation ** or date of acquisition *** |                              |                           |

\* Country in which the specimens were taken from the wild, bred in captivity or artificially propagated (only in case of re-export)  
\*\* Only for specimens of Appendix-species bred in captivity or artificially propagated for commercial purposes  
\*\*\* For pre-Convention specimens

13. THIS PERMIT IS ISSUED BY:

Place Date Security stamp, signature and official seal

14. EXPORT ENDORSEMENT: 15. Bill of Lading/Air Waybill Number:


| Block | Quantity |
|-------|----------|
| A     |          |
| B     |          |
| C     |          |
| D     |          |

Port of Export Date Signature Official stamp and title

**CITES PERMIT / CERTIFICATE N**


FIGURE D-29 Example of Ghana CITES Permit/Certificate for Export/Re-export/Import/Other

## Guatemala CITES Permit for Export/Re-export/Import



**CERTIFICADO CITES**  
**Nº ANULADO**  
CONVENCIÓN SOBRE EL COMERCIO INTERNACIONAL DE ESPECIES  
AMENAZADAS DE FAUNA Y FLORA SILVESTRE (CITES)

CONSEJO NACIONAL DE ÁREAS PROTEGIDAS (CONAP)  
REPÚBLICA DE GUATEMALA, C. A.



1. PERMISO NÚMERO \_\_\_\_\_

☐ EXPORTACIÓN  
☐ REEXPORTACIÓN  
☐ IMPORTACIÓN

2. VÁLIDO HASTA \_\_\_\_\_

| <b>3. TIMBRE CITES nombre y dirección de autoridad Administrativa:</b><br><div style="text-align: center; font-size: 2em; font-weight: bold; transform: rotate(-5deg); opacity: 0.5;">ANULADO</div>  |  | <b>4. DESTINATARIO U ORIGEN DEL EMBARQUE</b><br>(Nombre, Dirección, País) |  |   |       |   |       |   |       |   |       |   |       |  |  |
|--|--|---|--|---|-------|---|-------|---|-------|---|-------|---|-------|--|--|
| <b>5. TITULAR DEL PERMISO</b><br>(Nombre, Identificación, dirección, País)   |  | <b>6. CONDICIONES ESPECIALES</b>  |  |   |       |   |       |   |       |   |       |   |       |  |  |
| <b>7. NOMBRES</b><br>(Común y científico del animal o planta)  | <b>8. DESCRIPCIÓN</b><br>(No. de Ident., edad, sexo) | <b>9. APÉNDICE Y PROCEDENCIA</b><br>(W.C.A. u O.)                         | <b>10. CANTIDAD</b><br>(Número, Letras y Peso Kg.) |   |       |   |       |   |       |   |       |   |       |  |  |
| A  |  | 11. PAÍS DE ORIGEN  | 12. PERMISO No.                                    |   |       |   |       |   |       |   |       |   |       |  |  |
| B  |  | 11. PAÍS DE ORIGEN  | 12. PERMISO No.                                    |   |       |   |       |   |       |   |       |   |       |  |  |
| C  |  | 11. PAÍS DE ORIGEN  | 12. PERMISO No.                                    |   |       |   |       |   |       |   |       |   |       |  |  |
| D  |  | 11. PAÍS DE ORIGEN  | 12. PERMISO No.                                    |   |       |   |       |   |       |   |       |   |       |  |  |
| E  |  | 11. PAÍS DE ORIGEN  | 12. PERMISO No.                                    |   |       |   |       |   |       |   |       |   |       |  |  |
| <b>13. OBSERVACIONES</b>   |  |   |  |   |       |   |       |   |       |   |       |   |       |  |  |
| <b>14.</b><br><div style="display: flex; justify-content: space-between;"> <div>FIRMA AUTORIDAD CIENTÍFICA</div> <div>LUGAR Y FECHA</div> <div>FIRMA AUTORIDAD ADMINISTRATIVA</div> </div>   |  |   |  |   |       |   |       |   |       |   |       |   |       |  |  |
| <b>15. COMPROBACIÓN DE EXPORTACIÓN/IMPORTACIÓN</b><br>No. Permiso: _____<br><table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%;">ITEM</th> <th style="width: 70%;">CANTIDAD</th> </tr> </thead> <tbody> <tr><td>A</td><td>_____</td></tr> <tr><td>B</td><td>_____</td></tr> <tr><td>C</td><td>_____</td></tr> <tr><td>D</td><td>_____</td></tr> <tr><td>E</td><td>_____</td></tr> </tbody> </table> |  | ITEM  | CANTIDAD   | A | _____ | B | _____ | C | _____ | D | _____ | E | _____ | <b>16. CONOCIMIENTO DE EMBARQUE</b><br><br>PUERTO DE EXPORTACIÓN/IMPORTACIÓN _____<br><br>TOTAL EMBARQUE, CAJAS O RECIPIENTES. _____ |  |
| ITEM   | CANTIDAD   |   |  |   |       |   |       |   |       |   |       |   |       |  |  |
| A  | _____  |   |  |   |       |   |       |   |       |   |       |   |       |  |  |
| B  | _____  |   |  |   |       |   |       |   |       |   |       |   |       |  |  |
| C  | _____  |   |  |   |       |   |       |   |       |   |       |   |       |  |  |
| D  | _____  |   |  |   |       |   |       |   |       |   |       |   |       |  |  |
| E  | _____  |   |  |   |       |   |       |   |       |   |       |   |       |  |  |
| <b>17. Este CERTIFICADO es válido solo si está el sello y la Firma Oficiales.</b><br><br><div style="text-align: right;">FIRMA Y FECHA</div>   |  |   |  |   |       |   |       |   |       |   |       |   |       |  |  |

ANULADO

Original

FIGURE D-30 Example of Guatemala CITES Permit for Export/Re-export/Import

## Guyana CITES Permit/Certificate for Export/Re-export/Import/Other



|  |          |   |  |
|--|----------|---|--|
|  <b>CONVENTION ON<br/>INTERNATIONAL TRADE IN<br/>ENDANGERED SPECIES OF<br/>WILD FAUNA AND FLORA</b>   |          | <b>PERMIT / CERTIFICATE No. 4005</b>  |  |
|  |          | <input type="checkbox"/> EXPORT<br><input type="checkbox"/> RE-EXPORT<br><input type="checkbox"/> IMPORT<br><input type="checkbox"/> OTHER:   |  |
| 3. Importer (name and address)   |          | 4. Exporter / Re-exporter (name and address, country)   |  |
| 3a. Country of import  |          | 2. Valid until  |  |
| 5. Special conditions<br><br><small>For live animals, this permit or certificate is only valid if the transport conditions conform to the Guidelines for Transport of Live Animals or, in the case of air transport, to the IATA Live Animals Regulations.</small>   |          | 6. Name, address, national seal/stamp and country of Management Authority<br><br><div style="text-align: center;">  <p>The Wildlife Division<br/>Office of the President<br/>295 Quamina Street<br/>South Cummingsburg<br/>Georgetown<br/>GUYANA</p> </div> |  |
| 5a. Purpose of the transaction (see reverse)   |          | 5b. Security stamp N°   |  |
| <b>7/8. SCIENTIFIC NAME (genus and species)<br/>AND COMMON NAME OF ANIMAL OR PLANT</b>   |          | <b>9. Description of specimens, including<br/>identifying marks or numbers<br/>(age/sex if live)</b>  |  |
| <b>10. Appendix No.<br/>and source<br/>(see reverse)</b>   |          | <b>11. Quantity<br/>(including unit)</b>  |  |
| <b>11a. Total exported/<br/>Quota</b>  |          |   |  |
| A  |          |   |  |
| B  |          |   |  |
| C  |          |   |  |
| D  |          |   |  |
| <small>* Country in which the specimens were taken from the wild, bred in captivity or artificially propagated (only in case of re-export)<br/>         ** Only for specimens of Appendix-I species bred in captivity or artificially propagated for commercial purposes<br/>         *** For pre-Convention specimens</small> |          |   |  |
| 13. THIS PERMIT IS ISSUED BY:  |          |   |  |
| Place _____ Date _____ Security stamp, signature and official seal _____   |          |   |  |
| 14. EXPORT ENDORSEMENT:  |          | 15. Bill of Lading/Air Way-bill Number:   |  |
| Block  | Quantity |   |  |
| A  |          |   |  |
| B  |          |   |  |
| C  |          |   |  |

FIGURE D-31 Example of Guyana CITES Permit for Export/Re-export/Import/Other

**FIGURE D-32 Example of Honduras CITES Permit for Export/Re-export/Import/Other**

## Indonesia CITES Permit for Export/Import/Re-export/Other

|   |   |  |   |  |   |  |  |
|---|---|--|---|--|---|--|--|
| <b>CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA</b>  |   |  |   | DEPARTEMEN KEHUTANAN DAN PERBURUHAN REPUBLIK INDONESIA<br>DIREKTORAT JENDERAL PERLINDUNGAN DAN KONSERVASI ALAM<br>MINISTRY OF FORESTRY AND NATURAL RESOURCES OF THE REPUBLIC OF INDONESIA<br>DIRECTORATE GENERAL OF PROTECTION AND NATURE CONSERVATION |   |  |  |
| Alamat : Monggala Wanabakti, Blok VII Lt. 7 JI Gatot Subroto Jakarta 10270 Telp. (62-21) 5720227, 5704501-04 Ext. 788, Fax. (62-21) 5720227, 5734818  |   |  |   |  |   |  |  |
| I. Surat Angkut Tumbuhan dan Satwa Liar<br>Permit No. :   |   |  |   | <input type="checkbox"/> Export <input type="checkbox"/> Import <input type="checkbox"/> Re-export <input type="checkbox"/> Others   |   |  |  |
| II. Diberikan Kepada (nama, alamat, negara)<br>Permittee (name, address, country)   |   |  |   |  |   |  |  |
| III. Dikirim kepada (nama, alamat, negara)<br>Consignee (name, address, country)  |   |  |   |  |   |  |  |
| IV. Berlaku sampai dengan<br>Valid until  |   |  |   | V. Pelabuhan tujuan<br>Place/Port of destination   |   |  |  |
| VI. Pelabuhan pemberangkatan<br>Port of exportation   |   |  |   | VII. Maksud transaksi<br>Purpose of transaction  |   |  |  |
| VIII. Pemegang sertifikat ini diberi ijin untuk mengangkut/mengirimkan fauna dan flora sebagai berikut<br>The above mentioned permittee is authorized to export/import the wild fauna and flora specified here under  |   |  |   |  |   |  |  |
| No.   | Nama jenis<br>Name of species<br>(Scientific Name, Indonesia, Common, ) | Jumlah<br>Quantity   | Keterangan dan keterangan lain tentang spesimen<br>Sex and/or other descriptions of specimens | Apesifikasi (jumlah)<br>Appendices (quantity)  | Jumlah yang telah dikirim (jenis)<br>Total exported (Quota) |  |  |
| <div style="position: relative; width: 100%; height: 100%;"> <div style="position: absolute; top: 50%; left: 50%; transform: translate(-50%, -50%) rotate(-45deg); font-size: 100px; opacity: 0.2; pointer-events: none;">SAMPLE</div> </div>   |   |  |   |  |   |  |  |
| IX. Syarat khusus : Tidak boleh apabila ada kondisi/termasuk dalam ketentuan lain. Hanya berlaku apabila persyaratannya sesuai dengan peraturan IATA untuk satu kali pengiriman.<br>Special conditions : Not valid if there is any condition/other regulation. This permit is only valid if the transport conditions conform to the conditions for transport of live animals, or to the IATA regulation, and valid for one shipment only. |   |  |   |  |   |  |  |
| X. Sertifikat ini diterbitkan oleh :<br>This permit is issued by :  |   |  |   |  |   |  |  |
| ATAS NAMA DIREKTUR JENDERAL<br>PERLINDUNGAN DAN KONSERVASI ALAM<br>FOR THE DIRECTOR GENERAL<br>OF PROTECTION AND NATURE CONSERVATION  |   |  |   |  |   |  |  |
| <div style="display: flex; justify-content: space-between;"> <div>             Tempat/Place<br/>             Tanggal/Date<br/>             Cap<br/>             Official stamp           </div> <div>             XI. Dikerjakan petugas pemeriksaan pengiriman<br/>             To be completed by official who inspect the shipment           </div> </div>   |   |  |   |  |   |  |  |
| Lihat Kolum jenis/See column of species   |   | No. Baki pengiriman<br>Bill of Lading (Airway bill number) : |   |  |   |  |  |
| No.   | Jumlah/Quantity   | Tanggal<br>Date :  |   |  |   |  |  |
| 1.  |   | Pelabuhan pemberangkatan<br>Port of exportation :            |   |  |   |  |  |
| 2.  |   |  |   |  |   |  |  |
| 3.  |   |  |   |  |   |  |  |
| 4.  |   |  |   |  |   |  |  |
| 5.  |   |  |   |  |   |  |  |
| 6.  |   |  |   |  |   |  |  |
| 7.  |   |  |   |  |   |  |  |
| 8.  |   |  |   |  |   |  |  |
| 9.  |   |  |   |  |   |  |  |
| 10.   |   |  |   |  |   |  |  |
| 11.   |   |  |   |  |   |  |  |
| 12.   |   |  |   |  |   |  |  |
|   |   | Cap<br>Official stamp  |   |  |   |  |  |
|   |   | Tanda tangan<br>Signature                                    |   |  |   |  |  |
| XII. Pembaharuan<br>Renewal   |   |  |   |  |   |  |  |
| Berlaku sampai dengan<br>Valid until  |   |  |   |  |   |  |  |
| Dikirim kepada (nama, alamat, negara)<br>Consignee (name, address, country)   |   |  |   |  |   |  |  |
| Pelabuhan pemberangkatan<br>Port of exportation   |   |  |   |  |   |  |  |
| Pelabuhan tujuan<br>Port of destination   |   |  |   |  |   |  |  |
| Tanggal<br>Date   |   |  |   |  |   |  |  |
| Cap<br>Official stamp   |   |  |   |  |   |  |  |
| Tanda tangan<br>Signature   |   |  |   |  |   |  |  |

FIGURE D-33 Example of Indonesia CITES Permit for Export/Import/Re-export/Other

## Italy European Community CITES Permit/Certificate for Import/Export/Re-export


| COMUNITA EUROPEA  |   | (IT)  |  |
|---|---|---|--|
| 1   | 1. Esportatore/Riesportatore / Exporter/Re-exporter   | <b>LICENZA/CERTIFICATO</b><br><b>PERMIT-CERTIFICATE</b><br><input type="checkbox"/> IMPORT<br><input type="checkbox"/> EXPORT<br><input type="checkbox"/> RE-EXPORT | N. _____   |
|   |   |   | 2. Ultimo giorno di validità / Last day of validity  |
|   |   |   | 3. Importatore / Importer  |
|   |   |   |  <b>Convenzione sul commercio internazionale delle specie di flora e di fauna selvatiche minacciate di estinzione</b> |
| 1   | 6. Indirizzo autorizzato presso il quale saranno custoditi gli esemplari vivi prelevati dall'ambiente naturale delle specie dell'allegato A | <b>CORPO FORESTALE DELLO STATO</b><br><b>SERVIZIO CITES</b>   | 4. "Paese di (ri)esportazione" / Country of (re)export   |
|   |   |   | 5. "Paese di importazione" / Country of import   |
|   |   |   | 7. Organismo di gestione che rilascia il documento / Issuing Management Authority  |
|   |   |   | 8. Descrizione degli esemplari (compresi marcature, sesso, data di nascita per gli animali vivi) / Description of specimens  |
| 1   | 9. Massa netta (kg) / Net mass (kg)   | 10. Quantità / Quantity   | 11. Appendice CITES  |
|   |   |   | 12. Allegato GE  |
|   |   |   | 13. Fonte / Source   |
|   |   |   | 14. Scopo / Purpose  |
|   |   |   | 15. Paese di origine / Country of origin   |
|   |   |   | 16. N. licenza / Permit No.  |
|   |   |   | 17. Data di rilascio / Date of issue   |
|   |   |   | 18. Paese di ultima riesportazione / Country of last re-export   |
|   |   |   | 19. N. di certificato / Certificate No.  |
|   |   |   | 20. Data di rilascio / Date of issue   |
| 21. Nome scientifico delle specie / Scientific name of species  |   |   |  |
| 22. Nome comune delle specie / Common name of species   |   |   |  |
| 23. Annotazioni particolari / Special conditions  |   |   |  |
| <p>La presente licenza o il presente certificato sono validi solo se il trasporto è effettuato in conformità alle linee guida CITES per il trasporto e la preparazione al trasporto di animali vivi o, in caso di trasporto aereo, alle norme concernenti gli animali vivi trasportati (CITES Guidelines for the Transport and Preparation for Shipment of Live Wild Animals or, in the case of air transport, the Live Animals Regulations published by the International Air Transport Association (IATA)).</p> |   |   |  |
| 24. La documentazione di trasporto dal paese di (ri)esportazione<br><input type="checkbox"/> è stata consegnata all'Autorità di rilascio<br><input type="checkbox"/> deve essere consegnata all'ufficio doganale di introduzione di frontiera   |   |   |  |
| 25. La <input type="checkbox"/> importazione <input type="checkbox"/> esportazione <input type="checkbox"/> riesportazione <input type="checkbox"/> reimportazione delle specie di cui sopra è autorizzata / The import of the goods described above is hereby permitted  |   |   |  |
| Firma e timbro ufficiale / Signature and official stamp   |   |   |  |
| Nome del funzionario che rilascia l'autorizzazione / Name of issuing official   |   |   |  |
| 26. N. della lettera di carico - di trasporto aereo / Bill of Lading - Air Waybill Number   |   |   |  |
| Luogo e data del rilascio / Place and date of issue   |   |   |  |
| 27. Riservato all'ufficio doganale  |   |   |  |
| Firma e timbro ufficiale  |   |   |  |
| Documento doganale  |   |   |  |
| Tipo:   |   |   |  |
| Numero:   |   |   |  |
| Data:   |   |   |  |
| Quant./massa netta (kg) effettivamente importata  | N. di animali deceduti durante il trasporto   |   |  |

FIGURE D-34 Example of Italy CITES Permit/Certificate for Import/Export/Re-export

## Japan CITES Permit for Export

別紙様式（１）

絶滅のおそれのある野生動植物の種の国際取引に関する条約に基づく日本国輸出許可申請書  
Export Permit; Government of Japan  
Convention on International Trade in Endangered Species of Wild Fauna and Flora

\* 輸出許可書番号 \_\_\_\_\_ \* 有効期限(日付) \_\_\_\_\_  
(Export Permit No.) (Valid Until)

氏名又は名称 \_\_\_\_\_  
(This permit is issued to)

住 所 \_\_\_\_\_  
(Address)

この許可書は、次の者が行う次のものの輸出について発給する。この許可書の発給を受けた者は、この条約を了知して  
いることを宣言する。

Who declares that he is aware of the provisions of the Convention, for the purpose of the following export.

| 附属書Ⅰ）、附属書Ⅱ）、に掲げる<br>種の学名及び俗名<br>Species listed in Appendix I<br>Appendix II of the Convention<br>(scientific and common name) | 標本 Specimen(s)<br>部分 Part(s)<br>派生物 Derivative(s)<br>(産品の種類) (indicate the<br>の区分 type of product) | 性 別<br>Sex<br>及び大きさ<br>Size | 数 量<br>Quantity | 金 額<br>Value |
|---|--|-----------------------------|-----------------|--------------|
|   |  |                             |                 |              |

飼育により繁殖された場所又は栽培された場所 \_\_\_\_\_ 輸出又は再輸出の別 (Export or Re-export)  
(bred in captivity or cultivated in)

仕向国 \_\_\_\_\_ 輸出許可書番号及び発行国  
(Destination) (Export Permit No., issuing country)

輸入業者名、住所 \_\_\_\_\_ 原産国 (Country of origin)  
(Name and address of consignee)

船積予定港 \_\_\_\_\_ 目的 (Purpose)  
(Scheduled port of shipping)

船積予定日 \_\_\_\_\_  
(Estimated date of shipping)

(注) 1. \*印の欄は記入しないで下さい。  
2. 用紙の大きさは、日本工業規格A列4番とする。  
3. 英文のタイプ印書で記入して下さい。  
4. 種の記載については、特定された「種の学名及び俗名」を記入して下さい。また、ラテン語で括弧書きして下さい。  
5. 「輸出許可書番号及び発行国」の記載は、本邦からの再輸出（加工品の場合にあっては、その原材料をいう。）の場合についてのみ記入して下さい。

\* 署 名 \_\_\_\_\_  
(Signature)

\* 許可年月日 \_\_\_\_\_  
(Date)

貿易局届出済（全貿易用紙連型）印刷


FIGURE D-35 Example of Japan CITES Export Permit




## Malaysia CITES Permit/Certificate for Export/Re-export/Import/Other

No. 2002/015    Mar. 6, 2002

**Original**  
Present to Malaysian and Foreign  
Customs on export/re-export/import

  
**KERAJAAN MALAYSIA**  
 GOVERNMENT OF MALAYSIA

**PERMIT/ SIJIL NO:**  
 PERMIT / CERTIFICATE NO.



**KONVENSYEN PERDAGANGAN  
ANTARABANGSA MENGENAI SPESIES  
FAUNA DAN FLORA TERANCAM**  
 CONVENTION ON INTERNATIONAL TRADE IN  
ENDANGERED SPECIES OF WILD FAUNA AND FLORA

☐ EKSPORT / EXPORT  
☐ EKSPORT SEMULA / RE-EXPORT

☐ IMPORT / IMPORT  
☐ LAIN-LAIN/ OTHERS

|   |  |   |  |   |  |
|---|--|---|--|---|--|
| 3. Pengimport (nama dan alamat)<br><i>Importer (name and address)</i>       |  |   | 4. Pengeksport (nama dan alamat)<br><i>Exporter (name and address)</i>   |   |  |
| 3a. Negara Pengimport<br><i>Country of Import</i>                           |  |   | Tandatangan Pemohon<br><i>Signature of the applicant</i>   |   |  |
| 5. Syarat-Syarat Khas /Special conditions                                   |  |   | 6. Nama, alamat, kop rasmi dan negara Pihak Berkuasa Pengurusan<br><i>Name, address, national seal/stamp and country of Management Authority</i> |   |  |
| 5a. Tujuan Urusniaga<br><i>Purpose of transaction</i>                       |  | 5b. No. Setem / Security Stamp No.  |  |   |  |
| 7/8 Nama Saintifik dan Nama Biasa<br><i>Scientific Name and Common Name</i> |  | 9. Perihal Spesimen termasuk tanda pengenal / nombor (umur/ jantina jika hidup)<br><i>Description of specimens, including identifying mark or numbers (age/sex if live)</i> |  | 10. No. Apendiks/ sumber<br><i>Appendix No./Source</i>  |  |
| 11. Isipadu (meter padu)<br><i>Volume (cubic meter)</i>                     |  | 11a. Jumlah telah dieksport / Kuota<br><i>Total Exported / Quota</i>  |  |   |  |
| 12 Negara Asal *<br><i>Country of origin*</i>                               |  | 12a Negara Pengeksport semula<br><i>Country of last Re-export</i>   |  | 12b No. operasi pembiakan**/Tarikh pemilikan*<br><i>No. of breeding operation** or date of acquisition*</i> |  |
| 12 Negara Asal *<br><i>Country of origin*</i>                               |  | 12a Negara Pengeksport semula<br><i>Country of last Re-export</i>   |  | 12b No. operasi pembiakan**/Tarikh pemilikan*<br><i>No. of breeding operation** or date of acquisition*</i> |  |
| 12 Negara Asal *<br><i>Country of origin*</i>                               |  | 12a Negara Pengeksport semula<br><i>Country of last Re-export</i>   |  | 12b No. operasi pembiakan**/Tarikh pemilikan*<br><i>No. of breeding operation** or date of acquisition*</i> |  |

\* Negara di mana spesimen diperolehi (bagi eksport semula)  
 (Country in which the specimens were taken (only in case of re-export))  
 \*\* Hanya bagi spesimen di bawah Apendiks I yang dikawalsur / diperolehi berdasar bagi tujuan komersial  
 (Only for specimens of Appendix-I species bred in captivity or artificially propagated for commercial purposes)  
 \* Untuk spesimen pra-konvensyen (for pre-convention specimens)

13. PERMIT/SIJIL INI DIKELUARKAN OLEH:  
 THIS PERMIT/CERTIFICATE IS ISSUED BY:

Tempat  
*Place*

Tarikh  
*Date*

Setem Keselamatan, tandatangan dan cop rasmi  
*Security Stamp, signature and official seal*

Tempat Pengeksportan  
*Port of Export*

Tarikh  
*Date*

Tandatangan  
*Signature*

Cop dan Jawatan Pegawai  
*Official stamp and title*

14. PENGESAHAN EKSPORT / EXPORT ENDORSEMENT

| Blok (Block) | Isipadu (Volume) |
|--------------|------------------|
| A            |                  |
| B            |                  |
| C            |                  |


15. No. bil muatan/ no. bil udara  
*Bil of lading/Air Waybill Number*

Copy for the Management Authority of Importing Country


FIGURE D-36 Example of Malaysia CITES Permit/Certificate for Export/Re-export/Import/Other (Malaysian Timber Industry)



## Malaysia CITES Permit/Certificate for Export/Re-export/Import/Other



**Forestry Department**  
(CITES Management Authority  
Sarawak, Malaysia)



**FEDERATION OF  
MALAYSIA**

**PERMIT / CERTIFICATE No. BTU 00000**

**ORIGINAL**

1. Importer (name and address)

3a. Country of import

5. Special conditions

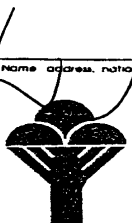
This document is issued for Ramin (*Gonystylus* spp) part and derivatives under reservation by Malaysian government (except for logs and sawn timber)

5a. Purpose of the transaction (see reverse)      5b. Security stamp No.

4. Exporter (name and address, country)

Signature of the applicant

Name, address, national seal/stamp and country of Management Authority



**Regional Forest Office Bintulu**  
**97000 Bintulu**  
**Sarawak, Malaysia.**

| 7/8 SCIENTIFIC NAME (genus and species) AND COMMON NAME OF ANIMAL OR PLANT |            |      | 9. Description of specimens, including identifying marks or numbers (specimens if live) |                 | 10. Appendix No. and source (see reverse) | 11. Quantity (including unit)                           | 11a. Total exported/Quota |
|--|------------|------|---|-----------------|---|---|---------------------------|
| 7/8  |            |      | 9   |                 | 10  | 11  | 11a                       |
| A  |            |      |   |                 |   |   |                           |
| 12. Country of origin*   | Permit No. | Date | 12a. Country of last re-export  | Certificate No. | Date                                      | 12b. No. of the operation ** or date of acquisition *** |                           |
| 7/8  |            |      |   |                 | 10  | 11  | 11a                       |
| B  |            |      |   |                 |   |   |                           |
| 12. Country of origin*   | Permit No. | Date | 12a. Country of last re-export  | Certificate No. | Date                                      | 12b. No. of the operation ** or date of acquisition *** |                           |
| 7/8  |            |      |   |                 | 10  | 11  | 11a                       |
| C  |            |      |   |                 |   |   |                           |
| 12. Country of origin*   | Permit No. | Date | 12a. Country of last re-export  | Certificate No. | Date                                      | 12b. No. of the operation ** or date of acquisition *** |                           |
| 7/8  |            |      |   |                 | 10  | 11  | 11a                       |
| D  |            |      |   |                 |   |   |                           |
| 12. Country of origin*   | Permit No. | Date | 12a. Country of last re-export  | Certificate No. | Date                                      | 12b. No. of the operation ** or date of acquisition *** |                           |

\* Country in which the specimens were taken from the wild, bred in captivity or artificially propagated (only in case of re-export)  
 \*\* Only for specimens of Appendix-I species bred in captivity or artificially for commercial purposes  
 \*\*\* For pre-convention specimens

13. THIS PERMIT IS ISSUED BY:

Place \_\_\_\_\_ Date \_\_\_\_\_ Signature and Official seal \_\_\_\_\_

14. EXPORT ENDORSEMENT

| Block | Quantity |
|-------|----------|
| A     |          |
| B     |          |
| C     |          |
| D     |          |

15. Bill of Lading/Air waybill Number \_\_\_\_\_

Port of export \_\_\_\_\_ Date \_\_\_\_\_ Signature \_\_\_\_\_ Official stamp and title \_\_\_\_\_

**ORIGINAL**

FIGURE D-37 Example of Malaysia CITES Permit/Certificate for Export/Re-export/Import/Other (Forestry Department)

## Mexico CITES Permit/Certificate for Import/Export/Re-export/Other



|   |  |   |  |  |  |
|---|--|---|--|--|--|
| <br><b>SECRETARIA DE MEDIO AMBIENTE Y RECURSOS NATURALES</b>   |  | <br><b>CONVENCION SOBRE EL COMERCIO INTERNACIONAL DE ESPECIES AMENAZADAS DE FAUNA Y FLORA SILVESTRES</b>   |  | HOJA DE                                      |  |
|   |  |   |  | 1. CERTIFICADO CITES ORIGINAL No. <b>M X</b> |  |
| 2. VALIDO HASTA   |  | IMPORTACION<br>EXPORTACION<br>REEXPORTACION<br>OTROS  |  |  |  |
| 3. Destinataria (nombre y direccion)<br><br><b>U</b>  |  | 4. Titular (nombre y direccion, para )  |  |  |  |
| 5a. Pais de destino<br>5. Condiciones especiales<br>Para animales vivos: Este Certificado es Valido solo si las condiciones de transporte se ajustan a las directrices CITES para el transporte de animales vivos o, en caso del transporte sereno, a la reglamentación de la IATA sobre el transporte de animales vivos.                           |  | 6. Nombre, direccion y pais de la Autoridad Administrativa<br><b>SUBSECRETARIA DE GESTION PARA LA PROTECCION AMBIENTAL,<br/>DIRECCION GENERAL DE VIDA SILVESTRE,<br/>AV. REVOLUCION 1425 NIVEL 20,<br/>COL. TLACOPAC,<br/>DELEG. ALVARO OBREGON,<br/>01040 - MEXICO, D.F.</b> |  |  |  |
| 5a. Objetivos de la transacción   |  | 5b. Estampilla de seguridad No. <b>E</b>  |  |  |  |
| 7/8 NOMBRE COMUN Y NOMBRE CIENTIFICO (genero y especie) del animal o planta   |  | 9. Descripción parte o derivado; marcas o numeros de identificación (edad/sexo vivos)   |  | 10. Apéndice y Procedencia                   |  |
| 11. Cantidad: numero de especímenes y/o peso neto (kg.)   |  | 11a. Total exportado /Cupo  |  |  |  |
| 12. Pais de origen*   |  | Permisos No.  |  | Fecha  |  |
| 12a. Pais de la última reexportación  |  | No. de certificado  |  | Fecha  |  |
| 12b. No. de la operación ** o fecha de la adquisición ***   |  |   |  |  |  |
| 12. Pais de origen*   |  | Permisos No.  |  | Fecha  |  |
| 12a. Pais de la última reexportación  |  | No. de certificado  |  | Fecha  |  |
| 12b. No. de la operación ** o fecha de la adquisición ***   |  |   |  |  |  |
| 12. Pais de origen*   |  | Permisos No.  |  | Fecha  |  |
| 12a. Pais de la última reexportación  |  | No. de certificado  |  | Fecha  |  |
| 12b. No. de la operación ** o fecha de la adquisición ***   |  |   |  |  |  |
| 12. Pais de origen*   |  | Permisos No.  |  | Fecha  |  |
| 12a. Pais de la última reexportación  |  | No. de certificado  |  | Fecha  |  |
| 12b. No. de la operación ** o fecha de la adquisición ***   |  |   |  |  |  |
| 12. Pais de origen*   |  | Permisos No.  |  | Fecha  |  |
| 12a. Pais de la última reexportación  |  | No. de certificado  |  | Fecha  |  |
| 12b. No. de la operación ** o fecha de la adquisición ***   |  |   |  |  |  |
| * Indicar el país en el cual los especímenes fueron capturados o recolectados en la naturaleza, nacidos o criados en cautividad o reproducidos artificialmente (solo en caso de Reexportación)<br>** Solamente para los especímenes del Apéndice I nacidos y criados en cautividad con fines comerciales<br>*** Para los especímenes pre-Convención |  |   |  |  |  |
| 13. ESTE CERTIFICADO ES EMITIDO POR LA AUTORIDAD ADMINISTRATIVA CITES MEXICO.<br>DIRECCION GENERAL DE VIDA SILVESTRE.<br>EL DIRECTOR GENERAL FERNANDO CLEMENTE<br>MEXICO, D.F. LUGAR FECHA FIRMA  |  |   |  |  |  |
| 14. APROBACION DE LA:   |  |   |  |  |  |
| 15. Conocimiento de embarcador de parte zero  |  |   |  |  |  |
| Var. Item 7 Cantidad  |  | POR LAS ADUANAS INDICADAS EN EL MANUAL DE PROCEDIMIENTOS VIGENTE, PUBLICADO EN EL DIARIO OFICIAL DE LA FEDERACION EL 26 DE MARZO DE 1999  |  |  |  |
| Puerto de:  |  | FECHA   |  | FIRMA  |  |
| Sello y cargo oficial   |  | CERTIFICADO CITES No.   |  |  |  |

FIGURE D-38 Example of Mexico CITES Permit for Export/Re-export/Import/Other

## Nepal CITES Permit/Certificate for Export/Re-export/Other




|   |                |   |  |   |                     |  |
|---|----------------|---|--|---|---------------------|--|
|    |                | <p align="center"><b>His Majesty's Government</b><br/><b>Ministry of Forests and Soil Conservation</b><br/><b>Department of Forests</b></p> |  | No.:  |                     |  |
|   |                |   |  | NEPAL   |                     |  |
|  Convention on International Trade in Endangered Species of Wild Fauna and Flora   |                | <input type="checkbox"/> EXPORT PERMIT<br><input type="checkbox"/> RE-EXPORT CERTIFICATE<br><input type="checkbox"/> OTHER CERTIFICATE      |  | 1. CITES STAMP NUMBER<br><br>2. VALID UNTIL<br>(y / m / d)  |                     |  |
| 5. Applicant (name, address, country, telephone and fax nos.)   |                | 3. Special Conditions and Other Information   |  | 4. Purpose of the transaction   |                     |  |
| 5. Exporter (name, address, country, telephone and fax nos.)  |                | 7. Consignee (name, address, country, telephone and fax nos.)   |  |   |                     |  |
| 8. Scientific name (genus and species)  | 9. Common name | 10. Description of specimen (marks, and ages if live)   | 11. Appendix   | 12. Source  | 13. Quantity & Unit | 14. Export Quota                         |
| 15a. Country of origin  | Permit No.     | Date<br>(y / m / d)   | 15b. Country of last re-export   | Certificate No.   | Date<br>(y / m / d) | 16. Pre-Convention (date of acquisition) |
| 17. The undersigned hereby certifies that all information given in this application is true and correct<br><br>Signature _____<br><br>Name: _____ Title: _____ Date: (y / m / d)                                    |                |   | 18. This Permit/Certificate is issued by/Management Authority:<br>Department of Forests<br>P.O.Box : 20607, Babarmahal, Kathmandu<br>Phone: 977-1-4227574, 4220303, 4221231, Fax: 977-1-4227374<br>E-mail: _____<br><br>Date of Issue: (y / m / d) Stamp of Management Authority |   |                     |  |
| 19. Export/Re-Export Endorsement<br>The Customs Official inspecting shipment upon exportation/re-exportation must enter the actual quantities of specimens being exported/re-exported                               |                | 20. Bill of Lading/Air Way Bill Number<br><br>Port of Exportation/re-exportation<br><br>Total No. of Shipping Containers                    |  | 21. Importing Customs Office Stamp, Signature and Date of the Inspecting Official<br><br>Signature _____ Date _____ |                     |  |
| ORIGINAL COPY TO BE RETAINED BY EXPORTER/IMPORTER<br>SECOND COPY TO BE RETAINED BY CUSTOM OFFICE OF NEPAL<br>THIRD COPY DEPARTMENT OF FORESTS RECORD COPY<br>FOURTH COPY TO BE RETAINED BY IMPORTING CUSTOMS OFFICE |                |   |  |   |                     |  |
| EXPORTER/IMPORTER COPY  |                |   |  |   |                     |  |

FIGURE D-39 Example of Nepal CITES Permit/Certificate for Export/Re-export/Other

## Nicaragua CITES Permit for Export/Re-export/Import



**CONVENCION SOBRE EL COMERCIO  
INTERNACIONAL DE ESPECIES  
AMENAZADAS DE FAUNA Y FLORA  
SILVESTRES**

PERMISO N° 00000

Original

2. Válido hasta el

☐ EXPORTACION

☐ RE-EXPORTACION

☐ IMPORTACION

3. Destinatario (nombre y dirección)

---

3a. País de destino

---

5. Condiciones especiales


Para animales vivos: Este permiso es válido sólo si las condiciones de transporte se ajustan a las directrices citadas sobre el transporte de animales vivos o, en caso del transporte aéreo, a la reglamentación de la IATA sobre el transporte de animales vivos.

Estampilla de seguridad N°

4. Titular (nombre y dirección, país)

---

6. Nombre, dirección, sello/timbre nacional y país de la Autoridad Administrativa



Ministerio del Ambiente  
y Recursos Naturales  
(MARENA)  
Km. 12 1/2 Carretera Norte  
Apdo. no. 5123  
**MANAGUA NICARAGUA**

| 7/8. NOMBRE COMUN Y NOMBRE CIENTIFICO (género y especie)<br>DEL ANIMAL O PLANTA | 9. Descripción parte o derivado; marcas o<br>números de identificación (edad/sexo si<br>vivos) | 10. Apéndice N° y<br>procedencia<br>(W.C.A. o O) | 11a. Cantidad: número<br>de especímenes<br>v/o peso neto (Kg.) | 11b. saldo del cupo/<br>cupo anual<br>nacional |
|---|--|--|--|--|
| A.  |  |  |  |  |
|   |  | 12. País de origen *      Permiso N° y fecha     |  |  |
| B.  |  |  |  |  |
|   |  | 12. País de origen *      Permiso N° y fecha     |  |  |
| C.  |  |  |  |  |
|   |  | 12. País de origen *      Permiso N° y fecha     |  |  |
| D.  |  |  |  |  |
|   |  | 12. País de origen *      Permiso N° y fecha     |  |  |
| E.  |  |  |  |  |
|   |  | 12. País de origen *      Permiso N° y fecha     |  |  |
| F.  |  |  |  |  |
|   |  | 12. País de origen *      Permiso N° y fecha     |  |  |

\* Indicar el país en el cual los especímenes fueron capturados o recolectados en la naturaleza, nacidos y criados en cautividad o reproducidos artificialmente (sólo en caso de reexportación).

13. ESTE PERMISO ES EMITIDO POR LA AUTORIDAD SIGUIENTE:

Lugar

Fecha

Firma

Sello y cargo oficiales

Estampilla de seguridad

14. APROBACION DE LA EXPORTACION:

| Var ítem 7 | Cantidad |
|------------|----------|
| A          |          |
| B          |          |
| C          |          |
| D          |          |
| E          |          |
| F          |          |

15. Conocimiento de embarque/carta de porte aéreo:

Puerto de exportación

Fecha

Firma



Sello y cargo oficiales


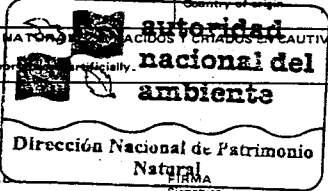
8-26

PERMISO N° 00000

FIGURE D-40 Example of Nicaragua CITES Permit for Export/Re-export/Import

## Panama CITES Permit for Export/Re-export/Import

|   |   |   |   |   |  |  |  |
|---|---|---|---|---|--|--|--|
| <p>LEY 14 DEL 26 DE OCTUBRE DE 1977</p> <p><b>CITES</b></p> <p>CONVENCIÓN SOBRE EL COMERCIO INTERNACIONAL DE ESPECIES AMENAZADAS DE FAUNA Y FLORA SILVESTRES</p> <p>CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA</p>                       |   | <p>REPÚBLICA DE PANAMÁ</p>  <p><b>INSTITUTO NACIONAL DE RECURSOS NATURALES RENOVABLES</b></p> <p><b>INRENARE</b></p> |   | <p>EXPORTACION<br/>Export</p> <p><input checked="" type="checkbox"/></p> <p>REEXPORTACION<br/>Re-export</p> <p><input type="checkbox"/></p> <p>IMPORTACION<br/>Import</p> <p><input type="checkbox"/></p>   |  | <p><b>PERMISO ORIGINAL</b></p> <p>ORIGINAL PERMIT</p> <p><b>No. 53-2000</b></p> <p>2. VALIDO HASTA EL<br/>Valid until</p> <p><b>20 feb. 2001</b></p> |  |
| <p>3. DESTINATARIO (NOMBRE Y DIRECCION, PAIS)<br/>Consignee (name and address, country)</p>   |   |   |   | <p>4. TITULAR (NOMBRE Y DIRECCION, PAIS)<br/>Consignor (name and address, country)</p>  |  |  |  |
| <p>5. CONDICIONES ESPECIALES<br/>Special conditions</p> <p>Estampilla de seguridad 911</p>  |   |   |   | <p>6. NOMBRE, DIRECCION, SELLO/TIMBRE NACIONAL DE LA AUTORIDAD ADMINISTRATIVA<br/>Name, address, seal/national stamp of the administrative authority</p> <p><b>INSTITUTO NACIONAL DE RECURSOS NATURALES RENOVABLES</b></p> <p><b>APARTADO 2016 - PARAISO</b></p> <p><b>CORREGIMIENTO DE ANCON</b></p>  |  |  |  |
| 7. NOMBRE COMUN DEL ANIMAL O PLANTA<br>Common name of the animal or plant   | 8. NOMBRE CIENTIFICO DEL ANIMAL O PLANTA<br>Scientific name of the animal or plant<br>GENERO<br>Genus<br>ESPECIE<br>Species | 9. DESCRIPCION PARTE O DERIVADO MARCAS O NUMEROS DE IDENTIFICACION (EDAD, SEXO SI VIVOS)<br>Description mark or identity number (age/sex if alive)  | 10. APENDICE No. Y PROVENIENCIA (W.C.A. o O)<br>Appendix No. and origin | 11. CANTIDAD: NUMERO DE ESPECIMENES Y/O PESO NETO (Kg.)<br>Quantity number of specimens and/or weight (Kg.)   |  |  |  |
| A<br>Caoba  | Swietenia Macrophylla   | Tablas de madera  | III W   | 28.28 m3  |  |  |  |
|   |   |   | PAIS DE ORIGEN *<br>Country of origin                                   | PERMISO No.<br>Permit No.   |  |  |  |
|   |   |   | Panamá  |   |  |  |  |
| *****   |   |   |   |   |  |  |  |
|   |   |   | PAIS DE ORIGEN *<br>Country of origin                                   | PERMISO No.<br>Permit No.   |  |  |  |
|   |   |   |   |   |  |  |  |
|   |   |   | PAIS DE ORIGEN *<br>Country of origin                                   | PERMISO No.<br>Permit No.   |  |  |  |
|   |   |   |   |   |  |  |  |
|   |   |   | PAIS DE ORIGEN *<br>Country of origin                                   | PERMISO No.<br>Permit No.   |  |  |  |
|   |   |   |   |   |  |  |  |
| <p>* 12. PAIS EN EL CUAL LOS ESPECIMENES FUERON CAPTURADOS O RECOLECTADOS EN LA NATURALEZA, EN LA CAPTIVIDAD O REPRODUCIDOS ARTIFICIALMENTE.<br/>Country where specimens were captured or collected in the wild, born and reared in captivity or reproduced artificially.</p> |   |   |   |   |  |  |  |
| <p>13. ESTE PERMISO ES EMITIDO POR LA AUTORIDAD SIGUIENTE:<br/>This permit is given by the following authority</p> <p>LUGAR Panamá, Rep. de Panamá<br/>Place</p> <p>FECHA 20 noviembre de 2000<br/>Date</p> <p>FIRMA<br/>Signature</p> <p>CARGO OFICIAL<br/>Official rank</p> |   |   |   |   |  |  |  |
| <p>14. APROBACION DE LA EXPORTACION O DE LA IMPORTACION<br/>Approval of export - of import</p>  |   |   |   | <p>15. CONOCIMIENTO DE EMBARQUE/CARTA DE PORTE AEREO<br/>Knowledge of embarkation/card of air department</p>  |  |  |  |
| <p>VER ITEM 7<br/>See item 7</p>  |   | <p>CANTIDAD<br/>Quantity</p>  |   |   |  |  |  |
| A   |   | 28.28 m3  |   |   |  |  |  |
| B   |   |   |   |   |  |  |  |
| C   |   |   |   |   |  |  |  |
| D   |   |   |   |   |  |  |  |

**autoridad nacional del ambiente**

**Dirección Nacional de Patrimonio Natural**

**FIRMA**  
Signature

**CARGO OFICIAL**  
Official rank

*Ricardo A. Rivera*

LCDO. RICARDO A. RIVERA J.  
Director Nacional de Patrimonio Natural

FIGURE D-41 Example of Panama CITES Permit for Export/Re-export/Import

## Paraguay CITES Permit/Certificate for Export/Re-export/Import/Other




|   |                                |  |  |
|---|--------------------------------|--|--|
|  <b>CONVENCION SOBRE EL COMERCIO INTERNACIONAL DE ESPECIES AMENAZADAS DE FAUNA Y FLORA SILVESTRES</b>  |                                | <b>PERMISO / CERTIFICADO N° 00000000</b>   |  |
|   |                                | <input type="checkbox"/> EXPORTACION<br><input type="checkbox"/> RE-EXPORTACION<br><input type="checkbox"/> IMPORTACION<br><input type="checkbox"/> OTRO:                            | Original<br>2. Válido hasta el         |
| 3. Importador (nombre y dirección)  |                                | 4. Exportador / reexportador (nombre y dirección, país)  |  |
| 3a. País de importación   |                                | Firma del solicitante  |  |
| 5. Condiciones especiales   |                                | 6. Nombre, dirección, sello/úmbre nacional y país de la Autoridad Administrativa   |  |
| Para animales vivos: Este permiso o certificado es válido sólo si las condiciones de transporte se ajustan a las Directrices CITES sobre el transporte de animales vivos o, en caso de transporte aéreo, a la Reglamentación de la IATA sobre el transporte de animales vivos.  |                                |  <b>Oficina CITES-Paraguay</b><br>Calle Azara 1888 esq.<br>Gral Aquino<br><b>ASUNCIÓN, PARAGUAY</b> |  |
| 5a. Fin de la transacción (Véase al dorso)  | 5b. Estampilla de seguridad N° |  |  |
| 7./8. NOMBRE CIENTIFICO (género y especie) Y NOMBRE COMUN DEL ANIMAL O PLANTA.  |                                | 9. Descripción de los especímenes: marcas o números de identificación (edad/sexo, si vivos)  | 10. Apéndice y origen (véase al dorso) |
|   |                                | 11. Cantidad (incluso la unidad de medida)   | 11a. Total exportador/ Cupo            |
| 7./8.   |                                | 9.   | 10.                                    |
| 12. País de origen *  |                                | Permiso N°   | Fecha                                  |
| 12a. País de la última reexportación  |                                | N° de certificado  | Fecha                                  |
| 12b. N° de la operación * * o fecha de adquisición * * *  |                                |  |  |
| 7./8.   |                                | 9.   | 10.                                    |
| 12. País de origen *  |                                | Permiso N°   | Fecha                                  |
| 12a. País de la última reexportación  |                                | N° de certificado  | Fecha                                  |
| 12b. N° de la operación * * o fecha de adquisición * * *  |                                |  |  |
| 7./8.   |                                | 9.   | 10.                                    |
| 12. País de origen *  |                                | Permiso N°   | Fecha                                  |
| 12a. País de la última reexportación  |                                | N° de certificado  | Fecha                                  |
| 12b. N° de la operación * * o fecha de adquisición * * *  |                                |  |  |
| 7./8.   |                                | 9.   | 10.                                    |
| 12. País de origen *  |                                | Permiso N°   | Fecha                                  |
| 12a. País de la última reexportación  |                                | N° de certificado  | Fecha                                  |
| 12b. N° de la operación * * o fecha de adquisición * * *  |                                |  |  |
| * País en el que los especímenes fueron recolectados en la naturaleza, criados en cautividad o reproducidos artificialmente (sólo en caso de reexportación)<br>* * Solamente para los especímenes de especies incluidas en el Apéndice I criados en cautividad o reproducidos artificialmente con fines comerciales<br>* * * Para los especímenes preconvención |                                |  |  |
| 13. PERMISO EXPEDIDO POR:   |                                |  |  |
| Lugar Fecha Estampilla de seguridad, firma y sello oficiales  |                                |  |  |
| 14. APROBACION DE LA EXPORTACION:   |                                | 15. N° de conocimiento de embarque/carta de porte aéreo:   |  |
| Sección   | Cantidad                       |  |  |
| A   |                                |  |  |
| B   |                                |  |  |
| C   |                                |  |  |
| D   |                                |  |  |
| Puerto de exportación / reexportación   |                                | Fecha  | Firma                                  |
|   |                                | Sello y cargo oficiales  |  |

FIGURE D-42 Example of Paraguay CITES Permit for Export/Re-export/Import

## Peru CITES Permit/Certificate for Export/Re-export/Import/Other



**CONVENCION SOBRE EL COMERCIO INTERNACIONAL DE ESPECIES AMENAZADAS DE FAUNA Y FLORA SILVESTRES**

**PERMISO / CERTIFICADO N° 0000**

☐ EXPORTACION  
☐ RE-EXPORTACION  
☐ IMPORTACION  
☐ OTRO:

Original

2. Válido hasta el

3. Importador (nombre y dirección)

---

3a. País de importación

---


5. Condiciones especiales

Para animales vivos: Esta permiso o certificado es válido sólo si las condiciones de transporte se ajustan a las Directrices CITES sobre el transporte de animales vivos o, en caso de transporte aéreo, a la Reglamentación de la IATA sobre el transporte de animales vivos.

4. Exportador (nombre y dirección, país)

---

6. Nombre, dirección, sello/timbre nacional y país de la Autoridad Administrativa



**Instituto Nacional de Recursos Naturales (INRENA)**  
**Calle Diecisiete N° 355 (Los Petirrojos)**  
**Urbanización El Palomar**  
**San Isidro – Apartado Postal 4452**  
**LIMA 27 PERÚ**

5a. Fin de la transacción (Véase al dorso)

5b. Estampilla de seguridad N°

7./8. NOMBRE CIENTÍFICO (género y especie) Y NOMBRE COMUN DEL ANIMAL O PLANTA.

9. Descripción de los especímenes: marcas o números de identificación (edad/sexo, si vivos)

10. Apéndice y origen (véase al dorso)

11. Cantidad (incluido la unidad de medida)

11a. Total exportado Cupe

| A | 7./8.                | 9.                  | 10.  | 11.   | 11a. |
|---|----------------------|---------------------|--|---|------|
| A | 12. País de origen * | Permiso N°<br>Fecha | 12a. País de la última reexportación<br>N° de certificado<br>Fecha | 12b. N° de la operación * * *<br>fecha de adquisición * * * |      |
| B | 7./8.                | 9.                  | 10.  | 11.   | 11a. |
| B | 12. País de origen * | Permiso N°<br>Fecha | 12a. País de la última reexportación<br>N° de certificado<br>Fecha | 12b. N° de la operación * * *<br>fecha de adquisición * * * |      |
| C | 7./8.                | 9.                  | 10.  | 11.   | 11a. |
| C | 12. País de origen * | Permiso N°<br>Fecha | 12a. País de la última reexportación<br>N° de certificado<br>Fecha | 12b. N° de la operación * * *<br>fecha de adquisición * * * |      |
| D | 7./8.                | 9.                  | 10.  | 11.   | 11a. |
| D | 12. País de origen * | Permiso N°<br>Fecha | 12a. País de la última reexportación<br>N° de certificado<br>Fecha | 12b. N° de la operación * * *<br>fecha de adquisición * * * |      |

\* País en el que los especímenes fueron recolectados en la naturaleza, criados en cautividad o reproducidos artificialmente (sólo en caso de reexportación)  
 \* \* Sólo para los especímenes de especies incluidas en el Apéndice I criados en cautividad o reproducidos artificialmente con fines comerciales  
 \* \* \* Para los especímenes preconvenção

13. PERMISO EXPEDIDO POR:

Lugar

Fecha

Estampilla de seguridad, firma y sello oficiales

14. APROBACION DE LA EXPORTACION:

| Sección | Cantidad |
|---------|----------|
| A       |          |
| B       |          |
| C       |          |
| D       |          |

15. N° de conocimiento de embarque/carta de porte aéreo:

Puerto de exportación

Fecha

Firma

Sello y cargo oficiales

FIGURE D-43 Example of Peru CITES Permit for Export/Re-export/Import/Other

## United States CITES Permit/Certificate for Export/Re-export/Other

CITES Not. No.2001/095 Dec. 19, 2001

FORM 3-201A (11/97)

**CITES** CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA

☐ EXPORT PERMIT  
☐ RE-EXPORT CERTIFICATE  
☐ OTHER CERTIFICATE (see block 9)

Page 1 of 1

1. Original Permit/Certificate No.  
2. Valid until

3. Permittee (name and address, country)  
4. Consignee (name and address, country)

5. Special Conditions  
MUST COMPLY WITH ATTACHED GENERAL PERMIT CONDITIONS

5a. Purpose of Transaction  
5b. Security No.

6. U.S. Management Authority  
DIVISION OF MANAGEMENT AUTHORITY  
U.S. FISH AND WILDLIFE SERVICE  
DEPARTMENT OF THE INTERIOR  
WASHINGTON, D.C. 20240  
UNITED STATES OF AMERICA

For live animals, only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with IATA Live Animals Regulations.

Issuing Date  
United States Management Authority  
AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et. seq.)

7. Common Name and Scientific name (genus and species) of Animal or Plant  
9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live)

10. Appendix No. and Source  
11. Quantity (including units)  
11a. Total Exported/Quota

A. Common Name  
Scientific Name

12. Country of Origin  
Permit/Certificate No.  
Date of Issue

12a. Country of Last Re-export  
Re-export Certificate No.  
Date of Issue

12b. Breeding Operation No.  
12c. Pre-Convention: Date of Acquisition

B. Common Name  
Scientific Name

12. Country of Origin  
Permit/Certificate No.  
Date of Issue

12a. Country of Last Re-export  
Re-export Certificate No.  
Date of Issue

12b. Breeding Operation No.  
12c. Pre-Convention: Date of Acquisition

13. Export / Re-export Endorsement:  
The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block.

14. Bill of Lading/Air Way-Bill Number

15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block.

Port of Exportation / Re-exportation  
Total No. of Shipping Containers

See Block 7  
Quantity  
A  
B

Inspecting Official's Stamp, Signature and Date

004127

FIGURE D-44 Example of United States CITES Permit/Certificate for Export/Re-export/Other (printed on security paper)



## United States CITES Permit/Certificate for Export/Re-export/Other


|  |                           |  |  |   |  |  |  |  |  |   |
|--|---------------------------|--|--|---|--|--|--|--|--|---|
| FORM 3-201A (1/97)<br> <b>CONVENTION ON<br/>INTERNATIONAL TRADE IN<br/>ENDANGERED SPECIES OF<br/>WILD FAUNA AND FLORA</b> |                           | <input type="checkbox"/> EXPORT PERMIT<br><input type="checkbox"/> RE-EXPORT CERTIFICATE<br><input type="checkbox"/> OTHER CERTIFICATE (see block 9)                                     |  | Page _____ of _____<br>1. Original Permit/Certificate No. _____<br>2. Valid until _____                   |  |  |  |  |  |   |
| 3. Permittee (name and address, country)   |                           | 4. Consignee (name and address, country)   |  |   |  |  |  |  |  |   |
| 5. Special Conditions  |                           | 5a. Purpose of Transaction   | 5b. Security Stamp No.                   |   |  |  |  |  |  |   |
|  |                           | 6. U.S. Management Authority<br><br>OFFICE OF MANAGEMENT AUTHORITY<br>U.S. FISH AND WILDLIFE SERVICE<br>DEPARTMENT OF THE INTERIOR<br>WASHINGTON, D.C. 20240<br>UNITED STATES OF AMERICA |  |   |  |  |  |  |  |   |
| <i>For live animals, only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with IATA Live Animals Regulations.</i>       |                           | Issuing Date _____ United States Management Authority<br>AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et. seq.)  |  |   |  |  |  |  |  |   |
| 7/8. Common Name and Scientific name (genus and species) of Animal or Plant  |                           | 9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live)   |  | 10. Appendix No. and  |  |  |  |  |  |   |
| Scientific Name _____  |                           | 9.   |  | 10.   |  |  |  |  |  |   |
|  |                           |  |  | 11. Quantity (including units)  |  |  |  |  |  |   |
|  |                           |  |  | 11a. Total Exported/Quota   |  |  |  |  |  |   |
| 12. Country of Origin  | Permit/Certificate No.    | Date of Issue  | 12b. Breeding Operation No.              |   |  |  |  |  |  |   |
| 12a. Country of Last Re-export   | Re-export Certificate No. | Date of Issue  | 12c. Pre-Convention: Date of Acquisition |   |  |  |  |  |  |   |
| Common Name _____  | 9.                        |  | 10.                                      |   |  |  |  |  |  |   |
| Scientific Name _____  |                           |  | 11. Quantity (including units)           |   |  |  |  |  |  |   |
|  |                           |  | 11a. Total Exported/Quota                |   |  |  |  |  |  |   |
| 12. Country of Origin  | Permit/Certificate No.    | Date of Issue  | 12b. Breeding Operation No.              |   |  |  |  |  |  |   |
| 12a. Country of Last Re-export   | Re-export Certificate No. | Date of Issue  | 12c. Pre-Convention: Date of Acquisition |   |  |  |  |  |  |   |
| 13. Export / Re-export Endorsement:<br>The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block.       |                           | 14. Bill of Lading/Air Way-Bill Number   |  | 15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block. |  |  |  |  |  |   |
| <table border="1"> <tr> <td>See Block 7</td> <td>Quantity</td> </tr> <tr> <td></td> <td></td> </tr> <tr> <td></td> <td></td> </tr> </table>  |                           | See Block 7  | Quantity                                 |   |  |  |  | Port of Exportation / Re-exportation _____<br><br>Total No. of Shipping Containers _____ |  | Inspecting Official's Stamp, Signature and Date _____ |
| See Block 7  | Quantity                  |  |  |   |  |  |  |  |  |   |
|  |                           |  |  |   |  |  |  |  |  |   |
|  |                           |  |  |   |  |  |  |  |  |   |

FIGURE D-45 Example of United States CITES Permit/Certificate for Export/Re-export/Other

## Venezuela CITES Permit for Export/Re-export

|   |   |   |  |   |   |                                 |
|---|---|---|--|---|---|---------------------------------|
| CITES: CONVENCIÓN SOBRE EL COMERCIO INTERNACIONAL DE ESPECIES AMENAZADAS DE FAUNA Y FLORA SILVESTRES<br>Convention on International Trade in Endangered Species of Wild Fauna and Flora |   |   |  |   | 10 SÚMERO:<br>Number  | 11 VALIDO HASTA:<br>Valid until |
| 1) TITULAR DEL PERMISO (NOMBRE Y DIRECCIÓN, PAÍS):<br>Holder of the permit (Name and address, country)  |   |   |  |   |   |                                 |
| 2) DESIGNADO A: (NOMBRE Y DIRECCIÓN)<br>Consignee to (Name and address)   |   |   |  |   |   |                                 |
| 3) CONDICIONES ESPECIALES<br>Special conditions   |   |   |  |   |   |                                 |
| DESCRIPCIÓN DEL (LOS) ESPECÍMEN (ES)<br>Description of the specimen (s)   |   |   |  |   |   |                                 |
| 4) a) COMÚN<br>Common name  | b) CIENTÍFICO - Genérico<br>Scientific - Generic name | ESPECIE<br>Species  | 7) PARTE O DERIVADO, MARCAS O NÚMEROS DE IDENTIFICACIÓN (EDAD, SEXO SI ES VIVO)<br>Part or derivative, marks or identification numbers (Age, sex if alive) | 8) APENDICE No. Y PROCEDENCIA (V.C.A. o O)<br>Appendix No. and origin | 9) CANTIDAD NÚMERO DE ESPECÍMENES Y/O PESO NETO (kg)<br>Quantity number of specimens and/or weight (kg) |                                 |
| 1)  |   |   |  |   |   |                                 |
| 2)  |   |   |  |   |   |                                 |
| 3)  |   |   |  |   |   |                                 |
| 4)  |   |   |  |   |   |                                 |
| 5)  |   |   |  |   |   |                                 |
| 6)  |   |   |  |   |   |                                 |
| 7)  |   |   |  |   |   |                                 |
| 8)  |   |   |  |   |   |                                 |
| 9)  |   |   |  |   |   |                                 |
| 10)   |   |   |  |   |   |                                 |
| 12) LUGAR DE PROCEDENCIA DE LOS ESPECÍMENES:<br>Place of origin of the specimens  |   |   | 13) AUTORIDAD ADMINISTRATIVA QUE CONCEDE EL PERMISO<br>Administrative authority granting the permit  |   |   |                                 |
| 14) PUERTO O AEROPUERTO DE EMBARQUE:<br>Port of embarkment  |   |   | 15) FIRMA:<br>Signature  |   |   |                                 |
| 16) PAÍS DE ORIGEN DE LOS ESPECÍMENES:<br>Single country of the specimens   |   |   | DIRECTOR GENERAL SECTORIAL DE ADMINISTRACIÓN DEL AMBIENTE<br>General director of the management of the environment   |   |   |                                 |
| 17) PUERTO O AEROPUERTO DE DESEMBARQUE:<br>Port of disembarkment  |   |   | 18) LUGAR:<br>Place  |   |   |                                 |
|   |   |   | CARACAS - VENEZUELA  |   |   |                                 |
|   |   |   | 19) FECHA:<br>Date   |   |   |                                 |
|   |   |   | D / M / A<br>Day / Month / Year  |   |   |                                 |
| SOLO PARA USO DEL CONTROL DE ENTRADA<br>Only for official use   |   |   |  |   |   |                                 |
| MINISTERIO DE HACIENDA (ADUANA)<br>Ministry of Public Treasury (Customs)  |   |   | MINISTERIO DE LA DEFENSA - RESGUARDO NACIONAL F.A.C.<br>Ministry of the Defense  |   |   |                                 |
| 13) a) VERIFICACIÓN:<br>Verification  |   | c) DATOS DEL FUNCIONARIO:<br>Identification of the employee |  | 14) DATOS DEL FUNCIONARIO:<br>Identification of the employee          |   |                                 |
| <input type="checkbox"/> COLUMBAS C.J.S. y H<br>Doves C.J.S. and H  |   | d) APELLIDOS Y NOMBRES:<br>Surname and name                 |  | e) APELLIDOS Y NOMBRES:<br>Surname and name                           |   |                                 |
| BICOMPROBANTE DE DESEMBARQUE/<br>CARTA DE PORTE AEREO O MARITIMO.<br>Receipt of landing /<br>Card of air or maritime transport.   |   | f) CARGO:<br>Position                                       |  | g) CARGO:<br>Position   |   |                                 |
|   |   | (SELLO)<br>Stamp office                                     |  | (SELLO)<br>Stamp office   |   |                                 |
|   |   | h) FIRMA:<br>Signature                                      |  | i) FIRMA:<br>Signature  |   |                                 |
|   |   | j) FECHA:<br>Date   |  | k) FECHA:<br>Date   |   |                                 |
|   |   | D / M / A<br>Day / Month / Year                             |  | D / M / A<br>Day / Month / Year                                       |   |                                 |
| 15) OBSERVACIONES:<br>Remarks   |   |   |  |   |   |                                 |
| Forma - 43 - 118 - 103/841  |   |   |  |   |   |                                 |
| CITES LEY 03 DE MAYO DE 1976  |   |   |  |   |   |                                 |
| 003-008AA(03/841)   |   |   |  |   |   |                                 |

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FIGURE D-46 Example of Venezuela CITES Permit for Export/Re-export



# Appendix E

## *Harmonized System of the World Customs Organization*

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### Contents

Introduction [page E-1](#)

Harmonized System of World Customs Organization (HS) Codes [page E-1](#)

---

### Introduction

This appendix contains the Harmonized System of the World Customs Organization (HS) codes describing and coding goods in trade.

---

### Harmonized System of World Customs Organization (HS) Codes

The following Harmonized System of World Customs Organization (HS) codes are referred to in the *CITES I-II-III Timber Species Manual*.

#### **HS Code 44.03**

Wood in the rough, whether or **not** stripped of bark or sapwood, or roughly squared.

#### **HS Code 44.06**

Railway or tramway sleepers of wood.

#### **HS Code 44.07**

Wood sawn or chipped lengthwise, sliced or peeled, whether or **not** planed, sanded or finger-jointed, of a thickness exceeding 6 mm.

#### **HS Code 44.08**

Veneer sheets and sheets for plywood (whether or **not** spliced) and other wood sawn lengthwise, sliced or peeled, whether or **not** planed, sanded or finger-jointed, of a thickness **not** exceeding 6 mm.

#### **HS Code 44.12.13**

Plywood consisting solely of sheets of wood, each ply **not** exceeding 6mm in thickness, and with at least one outer ply of tropical wood specified in Subheading Note<sup>1</sup>.

### HS Code 44.12.14

Plywood consisting solely of sheets of wood, each ply **not** exceeding 6 mm in thickness, and with at least one outer ply of non-coniferous wood.

### HS Code 44.12.22

Other (meaning one ply or more, that is greater than 6 mm in thickness), with at least one outer ply of non-coniferous wood, and with at least one ply of tropical wood specified in Subheading Note <sup>1</sup>.

---

<sup>1</sup> Subheading Note 1: For the purposes of subheadings 4403.41 to 443.49, 4407.24 to 440729, 4408.31 to 4408.39, and 4412.13 to 4412.99, the expression "etropical wood" means one of the following types of wood: Abura, Acajou d'Afrique, Afrormosia, Ako, Alan, Andiroba, Aningre, Avodire, Azobe, Balau, Balsa, Bosse Clair, Bosse Fonce, Cativo, Cedro, Dabema, Dark Red Meranti, Dibetou, Doussie, Framire, Freijo, Fromager, Fuma, Geronggang, Ilomba, Imbuia, Ipe, Iroko, Jaboty, Jelutong, Jequitiba, Jongkong, Kapur, Kempas, Keruing, Kosipo, Kotibe, Koto, Light Red Meranti, Limba, Louro, Macaranduba, Mahogany, Makore, Mandioquiera, Mansonia, Mengkulang, Meranti Bakau, Merawan, Merbau, Merpauh, Mersawa, Moabi, Niangon, Nyatoh, Obeche, Okoume, Onzabili, Orey, Ovengkol, Ozigo, Padauk, Paldao, Palissandre de Guatemala, Palissandre de Para, Palissandre de Rio, Palissandre de Rose, Pau Amarelo, Pau Marfim, Pulai, Punah, Quaruba, Ramin, Sapelli, Saqui-Saqui, Sepetir, Sipo, Sucupira, Suren, Teak, Tauari, Tiama, Tola, Virola, White Lauan, White Meranti, White Seraya, Yellow Meranti.



# Appendix F

## *Commodity Recognition and Wood Identification*

---

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| Araucaria araucana (monkey puzzle tree)             | page F-4  |
| Dalbergia nigra (Brazilian rosewood)                | page F-5  |
| Fitzroya cupressoides (Alerce)                      | page F-7  |
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| CITES Appendix II Protected Timber Species          | page F-9  |
| Caryocar costaricense (Ajillo)                      | page F-9  |
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| Pterocarpus santalinus (red sandalwood, redsanders) | page F-16 |
| Swietenia humilis (Mexican mahogany)                | page F-17 |
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| Magnolia liliifera var. obovata                     | page F-24 |
| Podocarpus neriifolius (podocarp)                   | page F-25 |
| Tetracentron sinense (tetracentron)                 | page F-26 |

---

### Introduction

This appendix is a synopsis for wood identification of articles and commodities derived from CITES Appendix I, II, and III timber species. Wood identification is a difficult task. Become more familiar with wood by using this synopsis.

## Procedures

### Materials Needed

You will need the following materials to identify the wood, since the process usually **cannot** be accurately performed with the naked eye:

- ◆ 14X power hand lens
- ◆ Sharp knife (pen knife or utility knife)
- ◆ Single-edge razor blade

### Identification

If you suspect the commodity or article is something **other than** invoiced, then attempt to verify the article. If you are having difficulty with the identification, then contact a PPQ Regional Botanist (CBP contact a PPQ Regional Botanist through proper channels) for assistance.

Follow each step below to identify the wood:

1. Use a sharp knife or razor blade to slice the end or cross grain (transverse section) of a piece of lumber.
2. Examine the sliced wood with a hand lens.
3. Check to see if the wood sample has vessels (pores).
4. Compare what you view through the lens with the specific CITES Appendix I, Appendix II, or Appendix III protected timber species examples on the following pages.
5. Verify the features of your sample with the features listed in the accompanying description for each wood species.

## CITES Appendix I Protected Timber Species

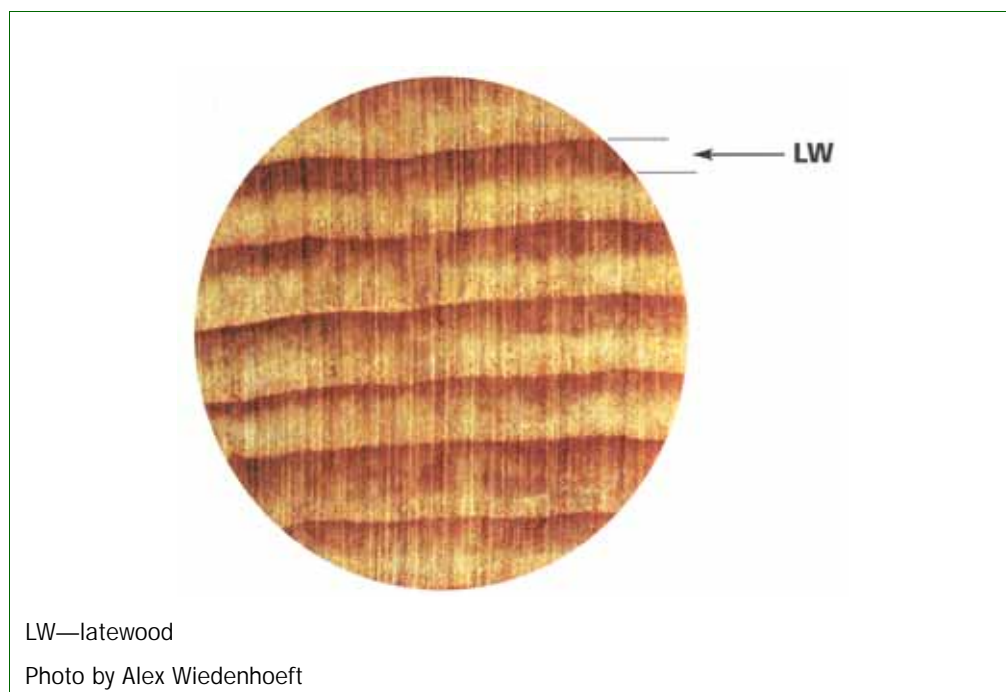
Examples of CITES Appendix I protected timber species follow. Use the following descriptions and examples of protected CITES Appendix timber for comparison with timber or article presented for import or re-export.

### *Abies guatemalensis* (Guatemalan fir)

*Abies guatemalensis* (Guatemalan fir) is a softwood.

To identify the wood, check the following:

- ◆ Heartwood is light brown
- ◆ Latewood is prominent (see [Figure F-1](#) below)
- ◆ Resin canals are absent
- ◆ Wood is light in color, soft, and lightweight



**FIGURE F-1** Example of *Abies guatemalensis* (Guatemalan fir) Wood Cross Section

***Araucaria araucana* (monkey puzzle tree)**

*Araucaria araucana* (monkey puzzle tree) is a softwood.

To identify the wood, check the following:

- ◆ Heartwood pinkish- to light brownish-red
- ◆ Latewood is absent or barely visible
- ◆ Resin canals are absent
- ◆ Wood is soft and lightweight



Photo by Alex Wiedenhoeft

**FIGURE F-2 Example of *Araucaria araucana* (Monkey puzzle tree) Wood Cross Section**

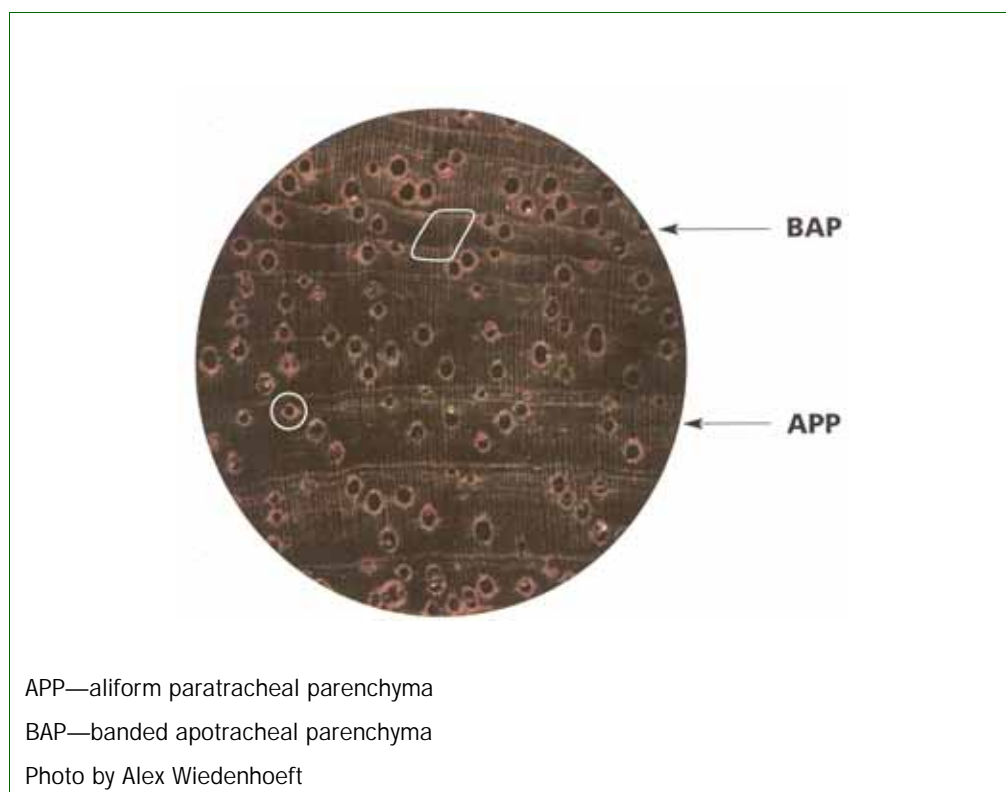


### *Dalbergia nigra* (Brazilian rosewood)

*Dalbergia nigra* (Brazilian rosewood) is a hardwood.

To identify the wood, check the following:

- ◆ Odor is pleasant, faintly sweet or spicy
- ◆ Parenchyma: aliform paratracheal parenchyma present; banded apotracheal parenchyma with prominent bands, irregularly spaced; parenchyma arrangements vary considerably
- ◆ Rays medium-storied
- ◆ Vessels large, relatively numerous
- ◆ Wood is **not** ring porous
- ◆ Wood is dark brown to black with darker streaks, hard, and heavy



**FIGURE F-3** Example of *Dalbergia nigra* (Brazilian rosewood) Wood Cross Section



Photo by Bud Petit de Manage

**FIGURE F-4** *Dalbergia nigra* (Brazilian rosewood) Rough Sawn Lumber



Photo by Bud Petit de Manage

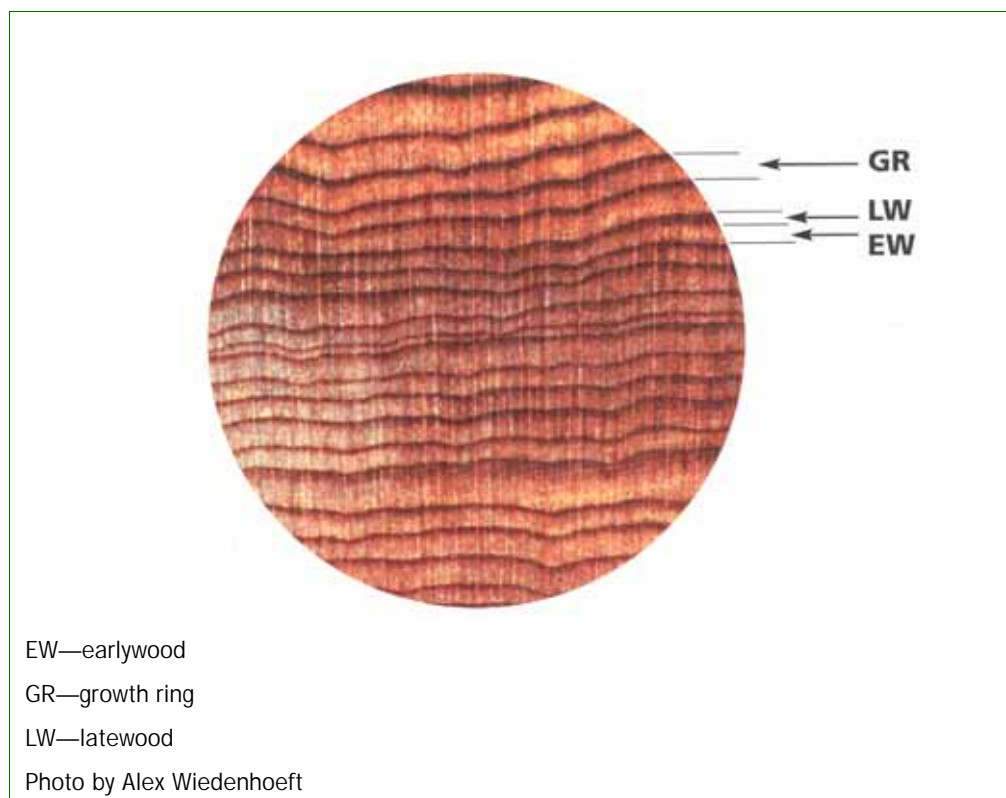
**FIGURE F-5** *Dalbergia nigra* (Brazilian rosewood) Rough Sawn Lumber

### **Fitzroya cupressoides (Alerce)**

*Fitzroya cupressoides* (Alerce) is a softwood.

To identify the wood, check the following:

- ◆ Heartwood is dark red to reddish brown
- ◆ Latewood is in relatively narrow bands; transition is abrupt between earlywood and latewood (see [Figure F-6](#))
- ◆ Resin canals are absent
- ◆ Wood is moderately hard and heavy



**FIGURE F-6** Example of *Fitzroya cupressoides* (Alerce) Wood Cross Section

***Podocarpus parlatorei* (Parlatore's podocarp)**

*Podocarpus parlatorei* (Parlatore's podocarp) is a softwood.

To identify the wood, check the following:

- ◆ Heartwood is light brown or tan
- ◆ Resin canals are absent
- ◆ Wood is light in color, relatively soft and lightweight



Photo by Alex Wiedenhoeft

**FIGURE F-7** Example of *Podocarpus parlatorei* (Parlatore's podocarp) Wood Cross Section

## CITES Appendix II Protected Timber Species

Examples of CITES Appendix II timber species follow.

### *Caryocar costaricense* (Ajillo)

*Caryocar costaricense* (Ajillo) is a hardwood.

To identify the wood, check the following:

- ◆ Heartwood is moderately hard and heavy
- ◆ Parenchyma: banded apotracheal parenchyma in short, patchy bands
- ◆ Rays are **not** storied
- ◆ Tyloses are present
- ◆ Vessels and vessel multiples are arranged diffusely and may be clogged with bubbles
- ◆ Wood is **not** ring porous
- ◆ Wood is light tan to light brown

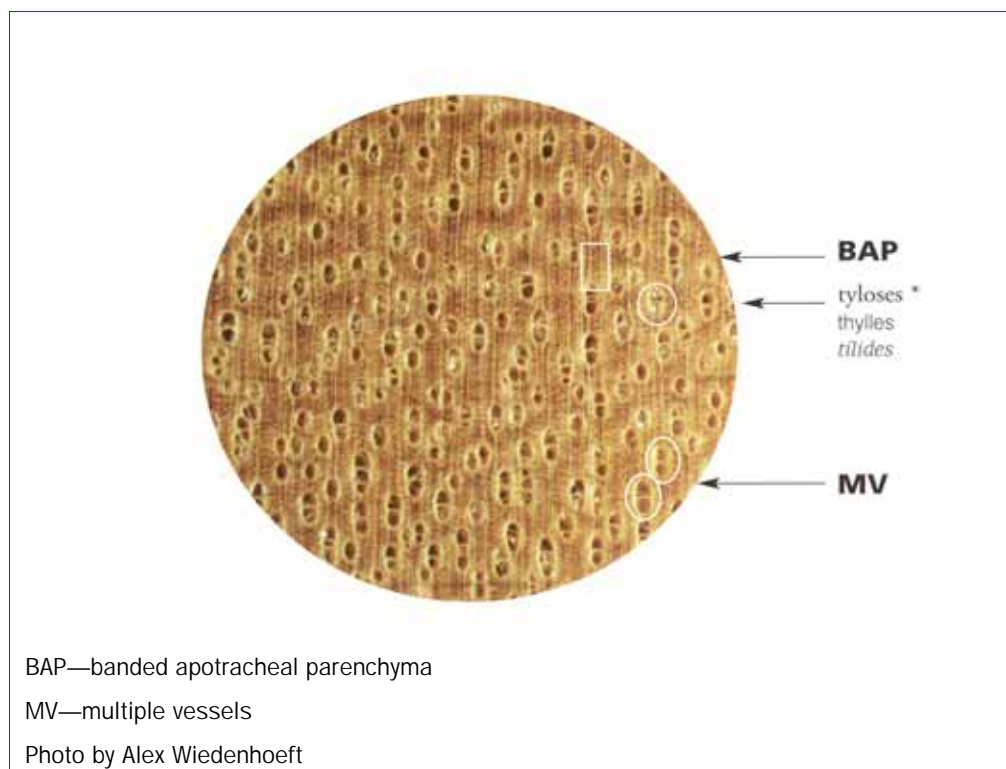


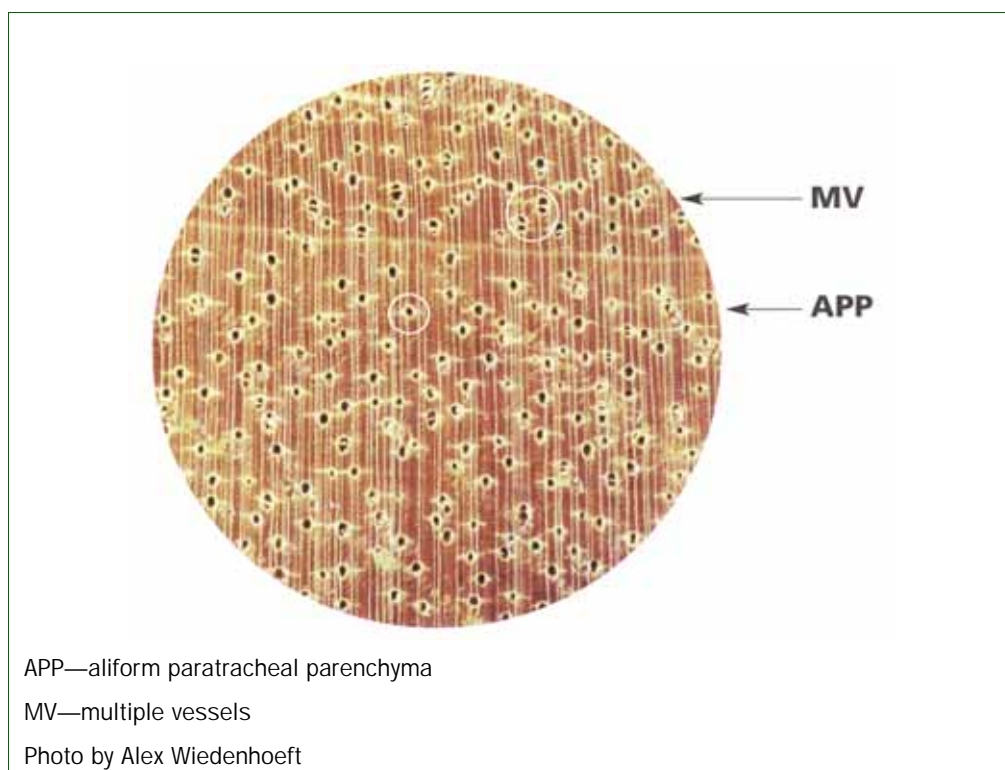
FIGURE F-8 Example of *Caryocar costaricense* (Ajillo) Wood Cross Section

### *Gonystylus* spp. (Ramin)

*Gonystylus* spp. (Ramin) is a hardwood.

To identify the wood, check the following:

- ◆ Heartwood is whitish to pale yellow
- ◆ Parenchyma: distinct aliform parenchyma; marginal parenchyma sometimes present
- ◆ Wood is **not** ring porous
- ◆ Vessels are mostly solitary; some in radial multiples of 2 or 3
- ◆ Wood is moderately hard and heavy



**FIGURE F-9** Example of *Gonystylus* spp. (Ramin) Wood Cross Section



## *Guaiaacum officinale* (Commoner lignum vitae)



Although all species of *Guaiaacum* are protected under CITES Appendix II, **only** two examples are shown in this appendix.

*Guaiaacum sanctum* (commoner lignum vitae) is a hardwood.

To identify the wood, check the following:

- ◆ Heartwood ranges from dark greenish to black or dark brown
- ◆ Rays are fine-storied
- ◆ Vessels are small, barely visible, and mostly solitary
- ◆ Wood is **not** ring porous
- ◆ Wood is extremely hard and heavy

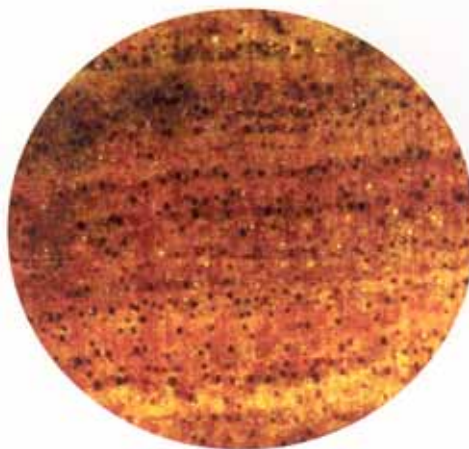


Photo by Alex Wiedenhoeft

**FIGURE F-10** Example of *Guaiaacum officinale* (Commoner lignum vitae) Wood Cross Section

## *Guaiacum sanctum* (Holywood lignum vitae)



Although all species of *Guaiacum* are protected under CITES Appendix II, **only** two examples are shown in this appendix.

*Guaiacum sanctum* (Holywood lignum vitae) is a hardwood.

To identify the wood, check the following:

- ◆ Heartwood is dark greenish, black, or dark brown
- ◆ Rays are fine-storied
- ◆ Vessels are small (barely visible with a hand lens) and mostly solitary
- ◆ Wood is **not** ring porous
- ◆ Wood is extremely hard and heavy

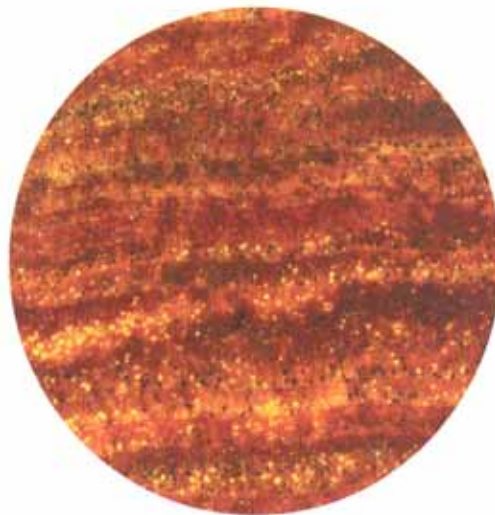


Photo by Alex Wiedenhoeft

**FIGURE F-11** Example of *Guaiacum sanctum* (Holy lignum vitae) Wood Cross Section

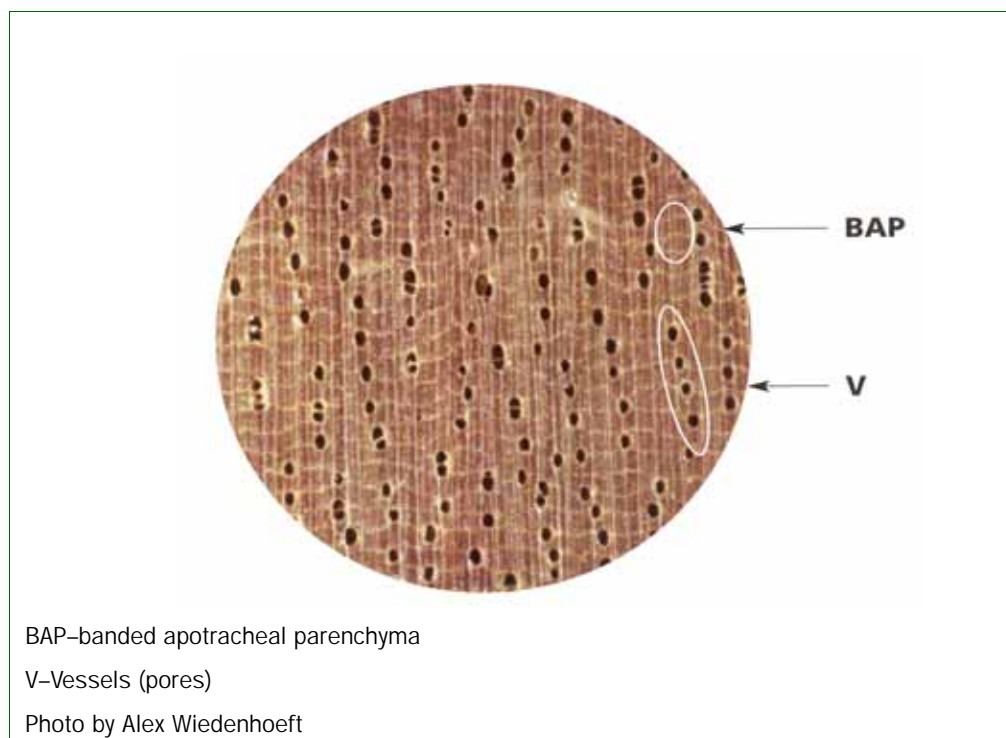


### *Oreomunnea pterocarpa* (Gavilan)

*Oreomunnea pterocarpa* (Gavilan) is a hardwood.

To identify the wood, check the following:

- ◆ Heartwood color is light brown
- ◆ Parenchyma: banded apotracheal parenchyma is present in long, wavy bands
- ◆ Rays are **not** storied
- ◆ Vessels mostly solitary, in radial or angled files
- ◆ Wood is **not** ring porous
- ◆ Wood is relatively soft and lightweight



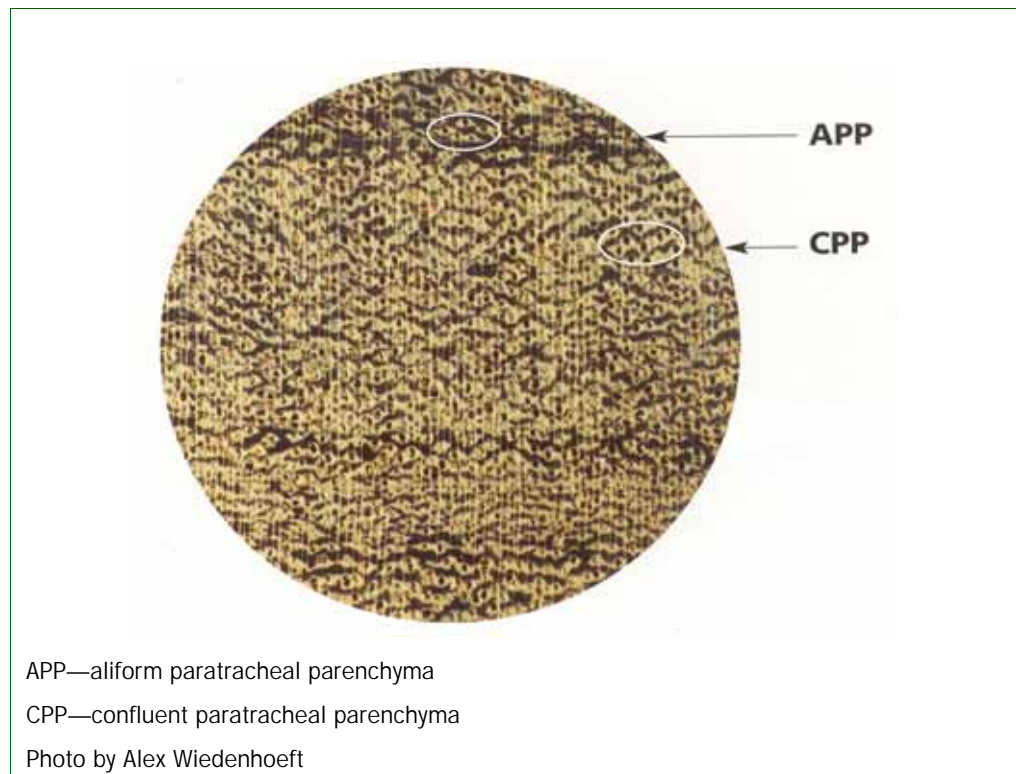
**FIGURE F-12** Example of *Oreomunnea pterocarpa* (Gavilan [Walnut]) Wood Cross Section

***Pericopsis elata* (Afrormosia)**

*Pericopsis elata* (Afrormosia) is a hardwood.

To identify the wood, check the following:

- ◆ Heartwood is medium to dark brown
- ◆ Parenchyma: aliform paratracheal parenchyma and confluent paratracheal parenchyma are present
- ◆ Rays are medium-storied (often hard to detect)
- ◆ Vessels are numerous (barley visible to the naked eye)
- ◆ Wood is **not** ring porous
- ◆ Wood is moderately hard and heavy



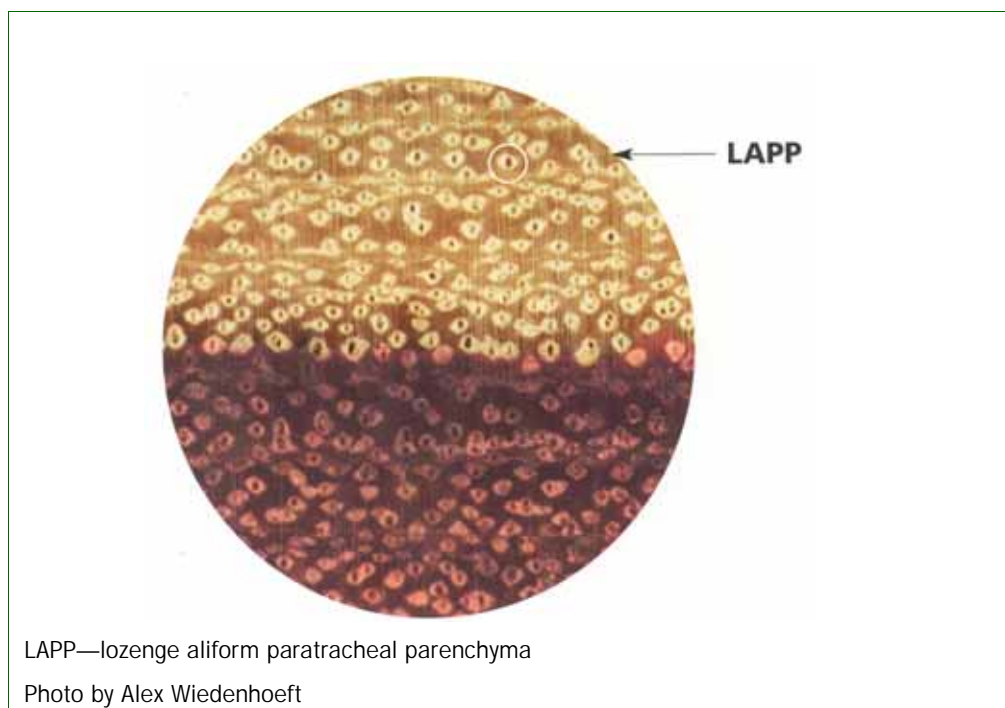
**FIGURE F-13** Example of *Pericopsis elata* (Afrormosia) Wood Cross Section

***Platymiscium pleiostachyum* (cristobal, granadillo)**

*Platymiscium pleiostachyum* (cristobal, granadillo) is a hardwood.

To identify the wood, check the following:

- ◆ Heartwood is reddish brown, usually with a purplish cast
- ◆ Parenchyma: lozenge aliform paratracheal parenchyma are present
- ◆ Rays are storied medium
- ◆ Vessels are large and numerous (visible to the naked eye)
- ◆ Wood is **not** ring porous
- ◆ Wood is hard and heavy



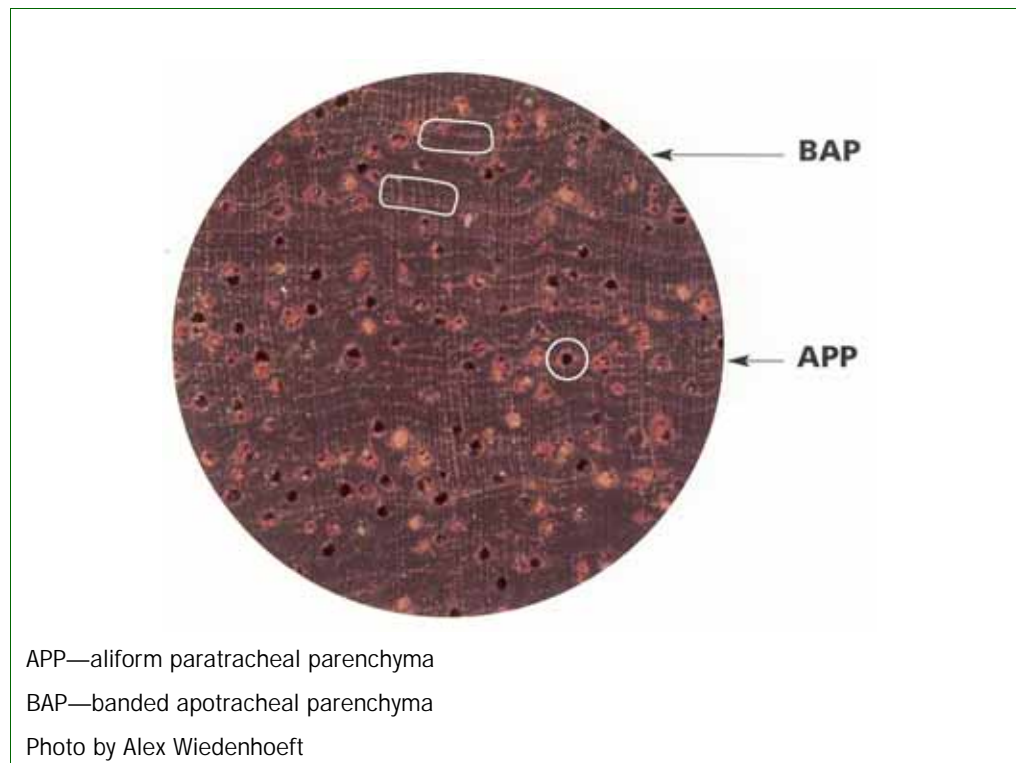
**FIGURE F-14** Example of *Platymiscium pleiostachyum* (Cristobal, Granadillo) Wood Cross Section

***Pterocarpus santalinus* (red sandalwood, redsanders)**

*Pterocarpus santalinus* (red sandalwood, redsanders) is a hardwood.

To identify the wood, check the following:

- ◆ Heartwood is dark red to reddish brown
- ◆ Parenchyma: aliform paratracheal parenchyma and prominent banded apotracheal parenchyma are present
- ◆ Rays are medium-storied
- ◆ Vessels are large and numerous
- ◆ Wood is **not** ring porous
- ◆ Wood is very hard and heavy



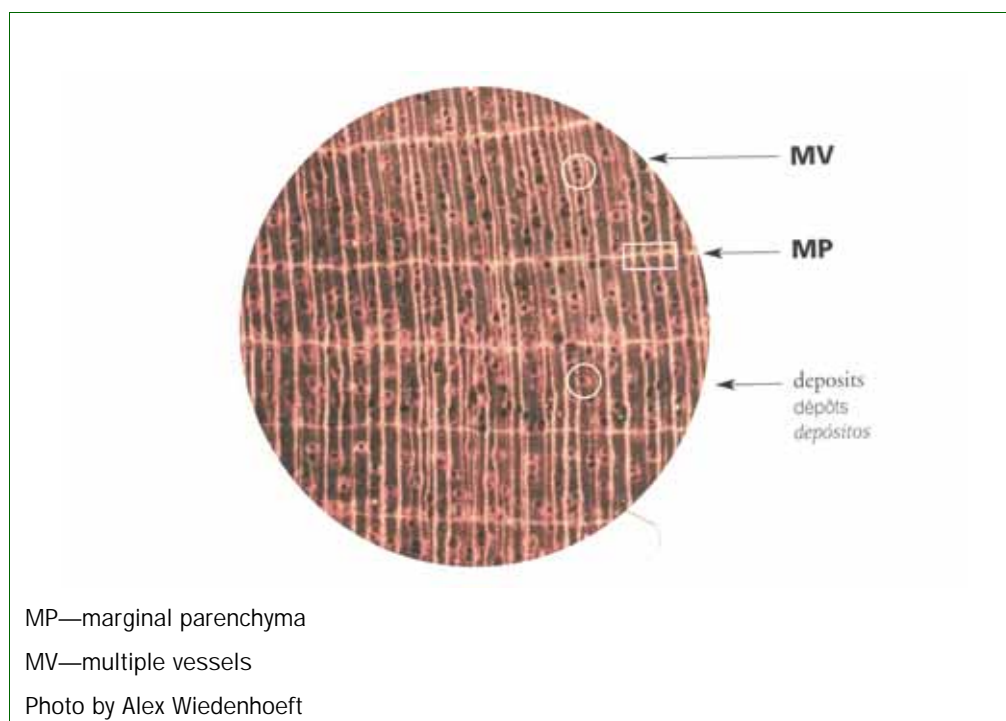
**FIGURE F-15** Example of *Pterocarpus santalinus* (Red sandalwood, Redsanders) Wood Cross Section

### *Swietenia humilis* (Mexican mahogany)

*Swietenia humilis* (Mexican mahogany) is a hardwood.

To identify *Swietenia humilis*, confirm the following:

- ◆ Heartwood is reddish brown
- ◆ Parenchyma: prominent marginal parenchyma are present
- ◆ Rays are coarse-storied
- ◆ Vessels are large (easily visible with the naked eye), often in two or three radial multiples; black or red deposits are common in vessels
- ◆ Wood is **not** ring porous
- ◆ Wood is moderately hard and heavy



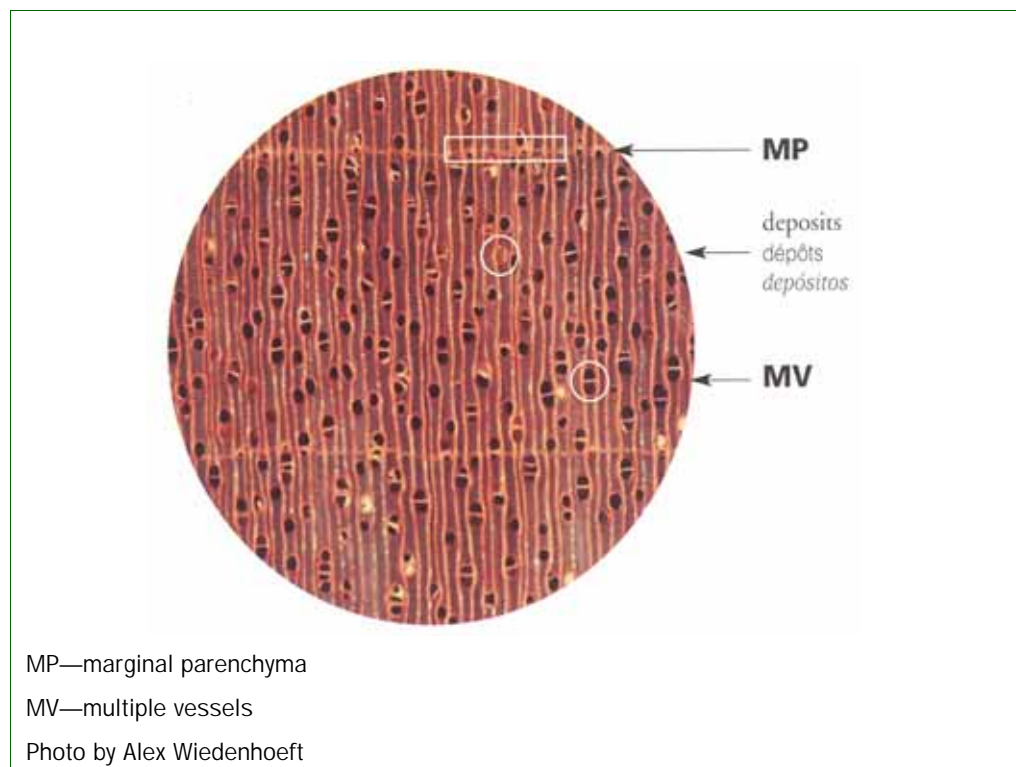
**FIGURE F-16** Example of *Swietenia humilis* (Mexican mahogany) Wood Cross Section

***Swietenia macrophylla* (bigleaf mahogany)**

*Swietenia macrophylla* (bigleaf mahogany) is a hardwood.

To identify the wood, check the following:

- ◆ Heartwood is reddish brown
- ◆ Parenchyma: prominent marginal parenchyma
- ◆ Rays are coarse-storied
- ◆ Vessels are large (easily visible with naked eye), often in multiples of 2 or 3
- ◆ Wood is moderately hard and heavy



**FIGURE F-17 Example of *Swietenia macrophylla* (Bigleaf mahogany) Wood Cross Section**





Photo courtesy of Bud Petit de Manage

**FIGURE F-18** *Swietenia macrophylla* (bigleaf mahogany) Lumber



Photo by Bud Petit de Mange

**FIGURE F-19** *Swietenia macrophylla* (bigleaf mahogany) Lumber



Photo by Bud Petit de Mange

**FIGURE F-20** *Swietenia macrophylla* (bigleaf mahogany) Lumber



Photo by Bud Petit de Mange

**FIGURE F-21** *Swietenia macrophylla* (bigleaf mahogany) Lumber

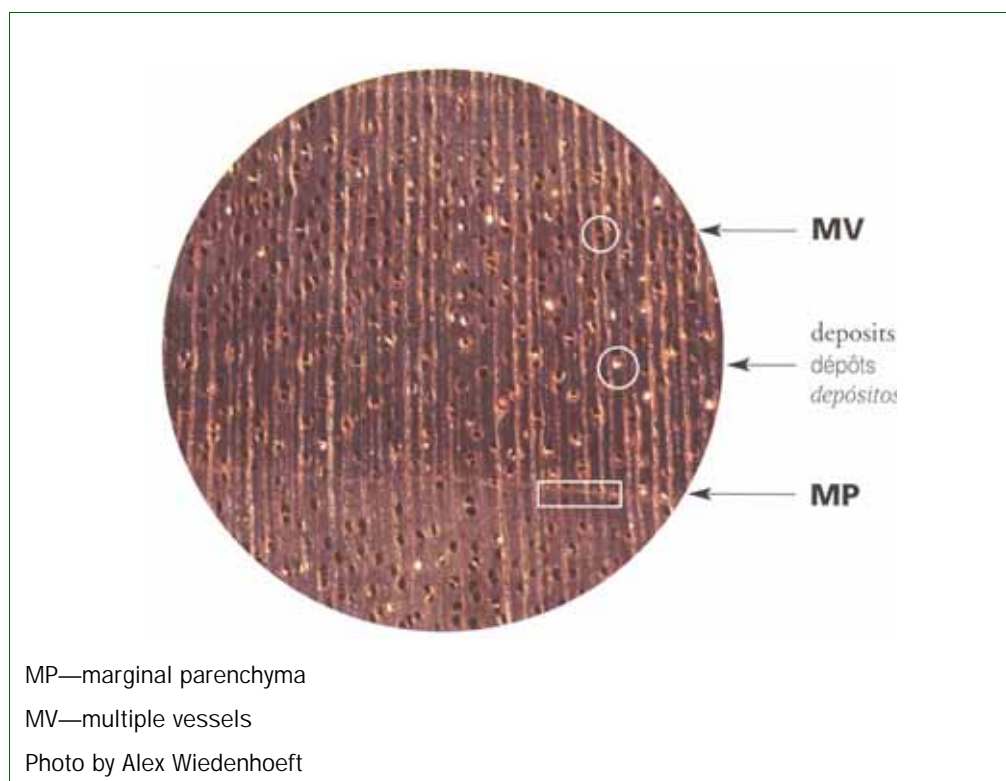


### *Swietenia mahogani* (Caribbean mahogany)

*Swietenia mahogani* (Caribbean mahogany) is a hardwood.

To identify the wood, check the following:

- ◆ Heartwood is reddish brown
- ◆ Parenchyma: prominent marginal parenchyma
- ◆ Rays are usually coarse-storied, but sometimes **not** storied
- ◆ Vessels are large (visible with the naked eye), often with radial multiples of two or three; reddish black or white deposits common
- ◆ Wood is **not** ring porous
- ◆ Wood is moderately hard and heavy



**FIGURE F-22** Example of *Swietenia mahogani* (Caribbean mahogany) Wood Cross Section

## CITES Appendix III Protected Timber Species

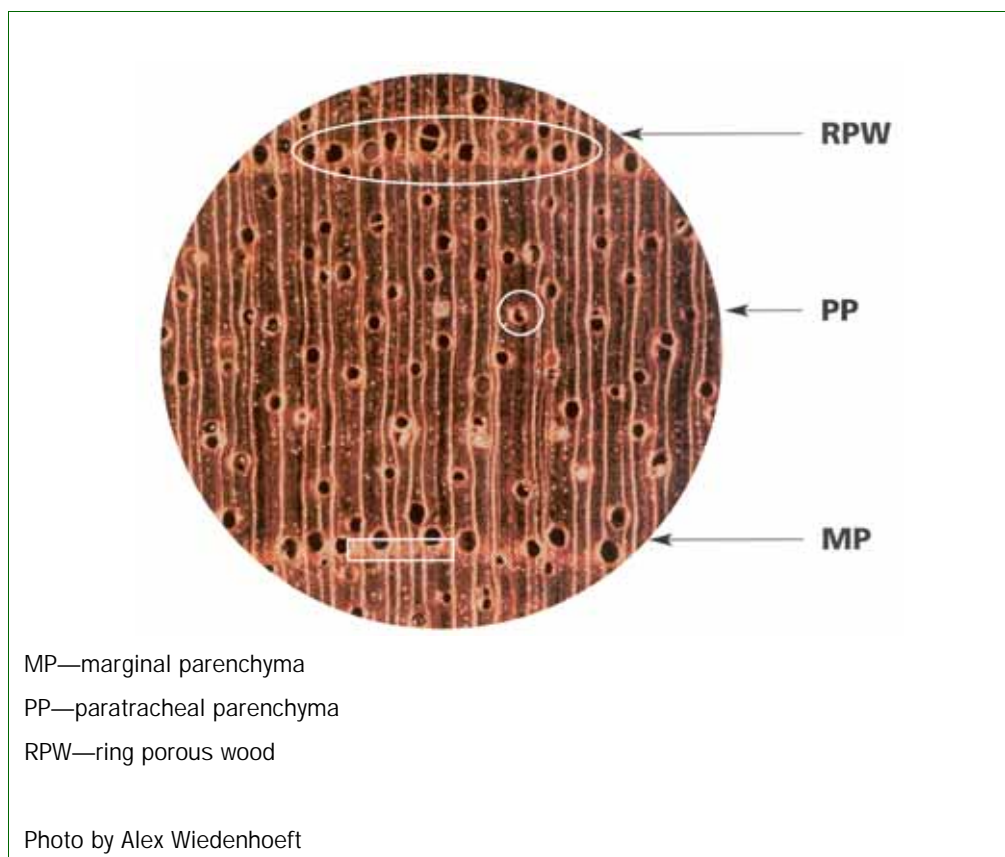
### *Cedrela odorata* (Spanish cedar)

*Cedrela odorata* (Spanish cedar) is a hardwood.

To identify the wood, check the following

- ◆ Heartwood is pale pinkish- to reddish brown (sometimes with a purplish tinge)
- ◆ Odor is distinctive, spicy cedar
- ◆ Parenchyma: paratracheal parenchyma forms a thin ring around the vessels; marginal parenchyma forms thick bands
- ◆ Rays are **not** storied
- ◆ Wood is ring porous
- ◆ Wood is relatively soft and moderately heavy to light

:



**FIGURE F-23** Example of *Cedrela odorata* (Spanish cedar) Wood Cross Section

***Dipteryx panamensis* (Tonka bean)**

*Dipteryx panamensis* (tonka bean) is a hardwood.

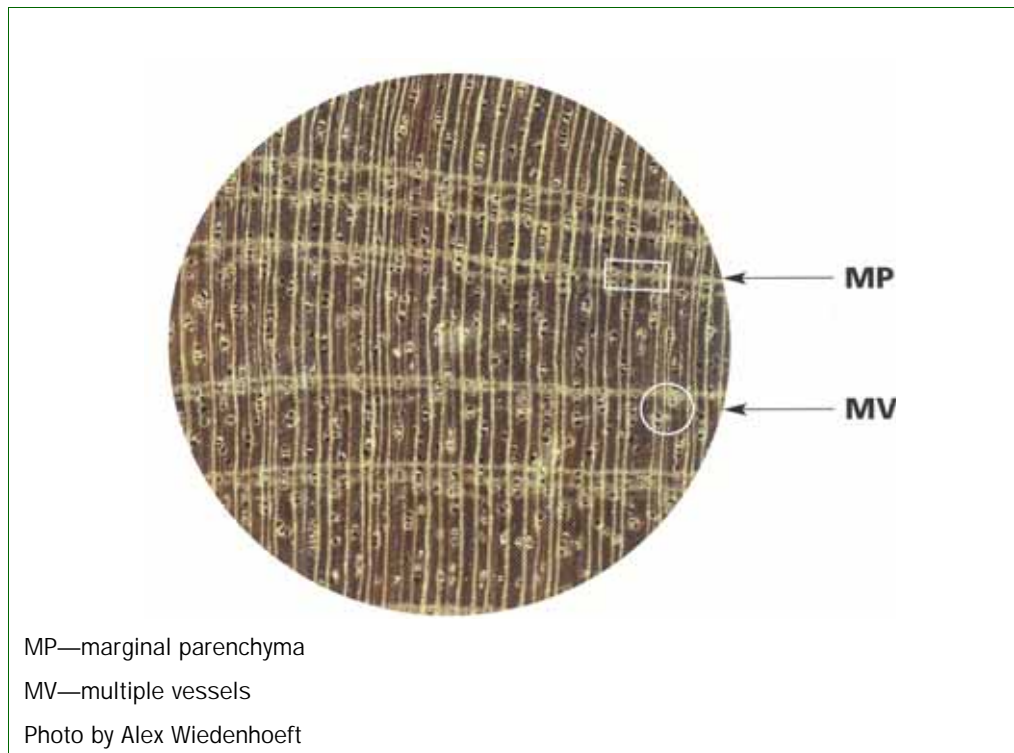
The description and an example are **not** yet available.

***Magnolia liliifera* var. *obovata***

*Magnolia liliifera* var. *obovata* is a hardwood.

To identify the wood, check the following:

- ◆ Heartwood is light brown, sometimes with a greenish tinge
- ◆ Parenchyma: marginal parenchyma is present and conspicuous
- ◆ Rays are **not** storied
- ◆ Vessels are often in multiples
- ◆ Wood is **not** ring porous
- ◆ Wood is moderately hard and heavy



**FIGURE F-24** Example of *Magnolia liliifera* var. *obovata* (Ramin) Wood Cross Section

***Podocarpus neriifolius* (podocarp)**

*Podocarpus neriifolius* (podocarp) is a softwood.

To identify the wood, check the following:

- ◆ Heartwood is light brown or tan
- ◆ Resin canals are absent
- ◆ Wood is light in color; soft, and lightweight



Photo by Alex Wiedenhoeft

**FIGURE F-25** Example of *Podocarpus neriifolius* (Podocarp) Wood Cross Section

***Tetracentron sinense* (tetracentron)**

*Tetracentron sinense* (tetracentron) is a hardwood.

The description and an example are **not** yet available.



# Appendix G

## *Maintenance of the Manual*

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### Contents

|                                  |          |
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| Introduction                     | page G-1 |
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### Introduction

This appendix contains information about updates to the manual. Manual updates are available electronically on the PPQ Manuals Unit Web site at the following URL:

[http://www.aphis.usda.gov/ppq/manuals/online\\_manuals.html](http://www.aphis.usda.gov/ppq/manuals/online_manuals.html)

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### Revisions to Manuals

PPQ's Manuals Unit issues revisions by e-mail transmittal memo that identify and contain an Adobe Acrobat pdf copy of the pages updated or refer the manual user to the Manuals Unit Web site to download a pdf copy of the updated section of the manual.

#### Advance Notices

Advance notices are issued when the revisions are **not** urgent or are extensive (more than 6 pages).

Transmittals (by e-mail or memorandum) for advance notices contain the following information:

- ◆ Transmittal number (used to track updates)
- ◆ Alert to users that the manual has been updated
- ◆ Purpose of the revision
- ◆ Instructions for any hard copy manuals to print and add new pages and/or remove old pages and replace with new ones

### Immediate Updates

Immediate updates are issued when the revisions are urgently needed and cover 6 pages or less.

Transmittals (by e-mail) for immediate updates usually contain the following information:

- ◆ Transmittal number (used to track updates)
- ◆ Purpose of the immediate update
- ◆ Supersede statement
- ◆ List of the updated pages
- ◆ Instructions to add new papers and to remove old pages and replace with new ones
- ◆ Attachment containing the updated pages

### New Editions

New editions of manuals are scheduled at fixed intervals—barring budgetary constraints—at least every 4 years or when the percentage of updated pages exceeds 30 percent of the entire manual.

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## Keeping the Manual Current

There are three ways to track revisions to your manual: control data, transmittal memos, and the **Update Record**.

### Control Data

The manual has control data positioned at the bottom of most pages. The control data contains the month, year, and transmittal number. New editions of manuals **always** start with -01. The transmittal number increases by 1 for each manual update.

|            |   |
|------------|---|
| 03/2006-01 | ◆ 03/2006 is the month and year the manual was issued |
| PPQ        | ◆ -01 is the transmittal number                       |

FIGURE G-1 Example of Manual Control Data

### Transmittal Memos

All new editions and updates are accompanied by transmittal memos that list the transmittal number. You may want to individually print, file, and retain a copy of each e-mail transmittal update.



### Update Record

The **Update Record** is located the page following the title page of the manual. For new editions issued on hard copy (paper), the **Update Record** is on the reverse side of the title page. If you **do not** already have a hard copy of this page, you can get a printed copy from the Web site.

Record the transmittal number and the date each transmittal memo update is received on the **Update Record**. This will let you help you identify if you are missing any transmittals—especially if you find the transmittal numbers are out-of-sequence.

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### Responsibilities of Manual Users

Electronic copies of each manual are revised and maintained by the Manuals Unit and are available on PPQ's Manuals Unit Web site at the following address:

[http://www.aphis.usda.gov/ppq/manuals/online\\_manuals.html](http://www.aphis.usda.gov/ppq/manuals/online_manuals.html)

If your work location requires that you print and maintain a hard copy from the posted electronic copy, then continue below.

### Paper Copy Maintenance

If you maintain a hard (paper) copy of *CITES I-II-III Timber Species Manual*, then the manual **must** be kept up-to-date. If you fail to keep the manual at your work location updated, you run the risk of making a decision that provides the opportunity for an outbreak of an exotic disease. Your diligence is a crucial part of this process.

When an update is issued electronically, do the following:

1. Read the transmittal e-mail and pages that are part of the transmittal to understand the purpose of the revision. all revisions are marked with a change bar as located to the left of this sentence, except for changes to the Table of Contents, List of Figures, List of Tables, and Index.
2. Record the transmittal number and date the transmittal and was received in the **Update Record**.
3. Add new pages or remove and replace with the revised pages on the same day you receive the transmittal.
4. If required locally, numerically file the transmittal e-mail or memorandum.
5. If you have missed a transmittal, check the Manuals Unit Web site first: [http://www.aphis.usda.gov/ppq/manuals/online\\_manuals.html](http://www.aphis.usda.gov/ppq/manuals/online_manuals.html).



# Glossary

## Definitions

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**Aliform paratracheal parenchyma (APP)**—an arrangement of parenchyma cells, as seen in cross section, that are grouped around pores and form wing-like lateral extensions.

**Artificially propagated**—timber taken from trees grown in monospecific plantations.

**Apotracheal parenchyma (AP)**—longitudinal (axial) parenchyma that is **not** associated with pores.

**Banded apotracheal parenchyma (AP)**—layer or band of parenchyma cells **not** associated with the vessels within a growth ring.

**Banded parenchyma**—parenchyma cells that collectively appear as thin lines when viewed in cross section.

**CITES Appendix I**—includes species threatened with extinction. Trade in specimens of these species is permitted **only** in exceptional circumstances; commercial trade is prohibited.

**CITES Appendix II**—includes species **not** necessarily threatened with extinction, but in which trade **must** be controlled in order to avoid utilization incompatible with their survival.

**CITES Appendix III**—includes species that are protected in at least one country which has asked other CITES parties for assistance in controlling the trade of these species.

**Confluent paratracheal parenchyma (CPP)**—an arrangement of parenchyma cells that completely surrounds a vessel and extends to connect another vessel appearing as bands when viewed in cross section.

**Convention (CITES)**—The Convention on the International Trade in Endangered Species of Wild Fauna and Flora.

**Conventions**—standard formats used in the manual, such as advisories, boldface, examples, etc.

**Country of origin**—country from which the tree was cut or removed.

**Deposits**—metabolites that accumulate in cells of wood.

**Earlywood (EW)**—first formed position of single growth ring, located on the inside portion of a growth ring. Characterized by large cells and low density.

**Engaged in commercial business**—trade for the purpose of selling, bartering, collecting, or otherwise as a livelihood or enterprise for gain or profit.

**General Permit**—USDA-issued permit required for the commercial trade of CITES or ESA regulated terrestrial plants.

**Growth ring (GR)**—the layer of wood added to the stem during one growth period.

**Hardwood**—woods from broad-leaved trees in the botanical group angiosperms, characterized by having vessels. Also referred to as porous woods.

**Harmonized System of the World Customs Organization (HS)**—an international numerical system of tariff codes.

**Heartwood**—wood associated with the central portion of a mature tree, and **no** longer conducts sap. Infiltration of various organics impart a darker color to this wood.

**Latewood (LW)**—later formed portion of a growth ring located on the outside portion of the growth ring. Characterized by smaller cells and higher density.

**Logs**—all wood in the rough whether or **not** stripped of bark or sapwood, or roughly squared for processing, notably into sawn wood, pulpwood, or veneer sheets.

**Lozenge aliform paratracheal parenchyma (LAPP)**—aliform paratracheal parenchyma that forms a lozenge shape.

**Lumber (sawn wood)**—wood sawn or chipped lengthwise, sliced or peeled, whether or **not** planed, sanded, or finger-jointed, of a thickness exceeding 6mm.

**Management Authority**—a national authority designated in accordance with CITES Article IX as competent to grant permits and certificates.

**Marginal parenchyma**—cells of parenchyma forming a line at the beginning or end of the growth ring.

**Multiple vessel (MV)**—several vessels adjacent and in-line to one another.

**Paratracheal parenchyma (PP)**—parenchyma that is associated with and often surrounds the vessels.

**Parenchyma**—thin-walled wood cells noted for storage of food reserves appearing light-colored when grouped together, or in continuous bands when viewed in cross section.

**Party**—a State for which the present Convention has entered into force.

**Phloem**—tissue of the inner bark that conducts food upward through the tree.

**Plywood**—consisting of three or more sheets of wood that is glued and pressed one on the other and generally disposed so the grains of successive layers are at an angle.

**Pore**—cross-section of a hardwood vessel.

**Radial**—a direction in wood perpendicular to the longitudinal grain direction.

**Radial section**—a section of wood cut in a plane parallel to the rays.

**Ray**—flattened bands of tissue extending horizontally in a radial plan seen in cross section radiating in a direction from the center toward the bark of a tree.

**Re-export**—export of any specimen that has previously been imported.

**Resin canal**—tubular passageways in the wood of some softwoods.

**Ring porous wood (RPW)**—wood in which an arrangement of larger pores are concentrated in the earlywood and smaller pores are found in the latewood.

**Sawn wood**—See **Lumber (sawn wood)**.

**Scientific authority**—a national authority designated in accordance with CITES Article IX as responsible for determining if trade will be detrimental to the survival of the species.

**Seizure date**—date CBP or PPQ determines a shipment warrants forfeiture procedures and verifies the physical location of the shipment as either in a CBP- or PPQ-owned, leased, or approved facility within a Customs-bonded operation.

**Single vessel**—a vessel that is **not** adjacent to or touching another vessel.

**Softwood**—wood without vessels produced by coniferous trees in the botanical group gymnosperms. Also referred to as nonporous woods.

**Species**—any species, subspecies, or geographically separate population thereof.

**Storied ray (SR)**—rays arranged side-by-side forming horizontal rows which appear as undulant bands seen in tangential section. There are three categories of storied rays: fine (more than 6 rows of rays per millimeter (mm)); medium (more 3 to 6 rows of rays per mm); coarse (2 rows or less per mm).

**Tangential section**—section of wood cut in a plane perpendicular to the rays.

**Trade**—to export, re-export, or import.

**Transverse section (cross section)**—section of wood cut in a plane across the grain.

**Tyloses**—bubble-like structures that form in the vessels of certain hardwood species.

**Veneer**—thin layers of wood of uniform thickness, usually 6 mm or less, usually peeled or sliced for use in making plywood, for veneering furniture, veneer containers, etc.

**Vessel (V)**—a longitudinal conductive passageway formed by an aligned series of vessel elements.

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